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ABSTRACT

This document is the instructor's manual for a course on supervisory management as it relates to the water or wastewater treatment field. Each of the seven modules is concerned with a segment of the management/supervision process and corresponds to reading material in an accompanying text. An objective and subjective test portion is included with each lesson of a module. Module topics are: (1) introduction to management; (2) responsibility toward delegation and motivation; (3) problem solving and communication skills; (4) planning and organizing; (5) staffing; (6) responsibility in directing and controlling; and (7) relations with the union and employees. A supervisory management audit is provided in the appendix. (CS)

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Supervisory Management in the Water/Wastewater Field

Instructor Manual

Self-Study Program Revised Second Edition

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1978

SE 026 796

Editor's Note:

Correspondence courses have several advantages--accessibility, on-the-spot application, and often, open time limits. This course has been designed to provide a basic introduction to management for middle managers in water or wastewater utilities--wherever they may be located.

There is nothing like a classroom situation, however, to encourage motivation and learner enthusiasm--students are able to share problems and exchange experiences. This Instructor's Manual has been designed to encourage the formation of those classes for those individuals who are able to attend a classroom type of instruction. It has been constructed so that it provides the Instructor with guidelines for class content--yet the Instructor must develop his or her own lesson plans and style in conducting class sessions.

Appreciation is extended to all those who have participated in the creation of this Manual. Our initial gratitude to the Environmental Protection Agency for the Grant which has made the Manual possible, and the EPA Representative who has worked most closely with our University, Manpower Officer, Frank Lapensee. At Michigan State University, our appreciation goes to Clark E. DeHaven, Director of Executive Training and Director of this project; and, Dr. Hal H. Hepler, Professor of Communications and Consultant on the course in that area.

Two other consultants have been the backbone of the development of this Manual; Dr. Omar Keith Helferich, one of the Directors with Cleveland Consulting Associates and Virgil W. Langworthy, Director of Business Development with the Snell Environmental Group.

We also owe a big vote of thanks to the Board of Reviewers who scrutinized each of these seven Modules and provided both broad comments on its overall structure as well as specific notes on its content. The Review Board included:

Dr. Eugene Garner, Metro Waste Control Commission, St. Paul, MN.

Mr. Edward H. Braatelien, Jr., Training Director, Water Pollution Control Federation

Mr. Michael Zihal, Chairman of AWWA Management Development Committee

Mr. Bernie Lukco, NTOTC, EPA, Cincinnati

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A final thank you goes to the assistants back at Michigan State University who typed, and retyped this Manual, held down the fort in all respects and contributed in many ways to the content of this manual. Thanks to Martha Barry, Cheryl Garbukas, Karen Kuebler and Aracely de la Torre.

Marilyn Liebrenz, Editor and Program Coordinator

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PREFACE

This manual contains the Performance-Oriented Worksheets to accompany the basic management course Supervisory Management in the Water/Wastewater Field. This course, originally created as a self-study correspondence course, is also easily used in the classroom setting. The manual is designed to aid the classroom instructor in the presentation of the material as laid out in the learner's manual. This manual is to be used with the accompanying textbook, Supervision: Concepts and Practices of Management, by Theo Haimann and Raymond Hilgert.

The term "learner" is used throughout this Instructor's Manual. This corresponds to the term "student" in the manual, Supervisory Management in the Water/Wastewater Field. The word "learner" has been selected to eliminate any problems that a manager or a person to be given supervisory duties would have in being referred to as a "student" or "trainee" at this point in his or her career.

This course includes an overview of management, and is specifically written for the middle manager with emphasis on the water and wastewater organization. This is not to say that it is inappoprpiate for the upper manager, however, or even for the person who has yet to be given supervisory duties. The course functions as a basic introduction to management, and all should benefit from it. As the Instructor will notice, the test portion of each lesson requires the learner to interact with the material at his or her own level. This provides an opportunity for all managers to apply the lesson's principals.

The course concentrates on the functions of the manager, as well as on some of the most crucial aspects of management. This Instructor's Manual has been designed to correlate with the learner's manual. Each Module in the Instructor's Manual refers to a specific lesson in the learner's manual.

This Instructor's Manual provides guidelines for the Classroom Instructor to follow in preparing classroom material. It has been constructed on a modular basis and contains all the necessary information needed to present the course. The Instructor is provided with additional classroom content, suggestions for classroom activities, and supplementary information relating to the lesson's specific material. At the same time, the Instructor is allowed flexibility as to the method of presentation and course layout.

The test portions referring to each Module are contained in the learner's manual already, but are reproduced here along with guidelines as to the answers. The objective test portions are able to be scored with specific

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answers; however, the subjective portions are designed to reflect the learner's knowledge of the subject as it relates to his or her position. Thus, correction of the subjective portion is more difficult since the Instructor will have to evaluate each learner separately.

Additional tests are available in the teacher's manual which accompanies the textbook, Supervision: Concepts and Practices of Management, by Haimann and Hilgert. These are tests which are based strictly upon the textbook material and do not include any additional content from the student manual. However, since an answer key is included in that manual for those examinations, the Instructor may find the material useful.

OUTLINE OF THE INSTRUCTOR'S MANUAL

to accompany

Supervisory Management in the Water/Wastewater Field

INTRODUCTION

This manual has been divided into seven modules of thirteen sessions, based on the seven lessons in the learner's manual. The seven modules in the Instructor's Manual refer to the seven lessons in the learner's manual. This should aid the Instructor in coordinating the entire course. Each session is based on the subject matter for its corresponding section in one of the lessons.

The division of the course content in the Instructor's Manual has been designed to assist the Instructor in using the material in the classroom. This division into thirteen sessions should allow the Instructor to adapt the materials to a variety of course scheduling. If the class is to be held once a week for either a semester or a quarter (15 weeks or 10 weeks), each session should constitute approximately one lecture period. If the class is to meet more than once a week, each session may be subdivided.

SUMMARY

MODULES ONE THROUGH SEVEN

SUPERVISORY MANAGEMENT IN THE WATER/WASTEWATER FIELD

A Correspondence Course on Managerial
Principles for Middle Managers

Materials:

Student Manual: *Supervisory Management in the Water/Waste-Water Field*

Textbook: *Supervision: Concepts and Practices of Management. 1977*

PERFORMANCE-ORIENTED WORKSHEET
SUMMARY

CURRICULUM: Water Quality Control Program

COURSE: Supervisory Management in the Water/Wastewater Field

SUBJECT MATTER: Managerial Principles

MODULES: Seven

Estimated Time: 39 Classroom Hours
(Based on a 60-minute format, with a 5-10 minute break allowed per hour.)

Prerequisites for this Course: Possession of student manual; Supervisory Management in the Water/Wastewater Field, and textbook; Supervision: Concepts and Practices of Management.

PERFORMANCE OBJECTIVES:

ACTION/TERMINAL BEHAVIOR: The learner will identify at least five changes which have occurred in the water/wastewater industry in the past five years and list three problem areas which are related to managerial aspects in this field. The learner will be able to define the five functions of a manager; identify three reasons why some supervisors or managers do not delegate properly; list the five "need" areas of human beings according to Maslow and apply this information to motivational problems; identify the five steps in problem-solving as listed in the lesson material and list the twelve steps in the grievance adjustment process.

CONDITIONS: Classroom instruction and demonstration. Classroom interaction where desired or required.

ACCEPTED PERFORMANCE: Satisfactory completion of individual modules, as determined by successful completion of all test portions of each lesson (both objective and subjective) and acceptable classroom performance, as specified by the individual instructor. Successful completion of each module includes: a) at least 11 correct responses out of 15 on the objective portion; b) a grade of Superior or Satisfactory on each subjective portion.

JUSTIFICATION OF OBJECTIVE:

The learner needs to know the basic principles of management.

INSTRUCTIONAL RESOURCES:

1. Available media--as listed in each lesson
2. Suggested media--as listed in each lesson

INSTRUCTIONAL APPROACH:

Module I --Introduction to Management (6 Hours)
Module II --The Manager's Responsibility Toward Delegation and Motivation (6 Hrs)
Module III--The Supervisor's Need for Problem-Solving and Communication Skills (6 Hours)
Module IV --Planning and Organizing (6 Hours)
Module V --Staffing (6 Hours)
Module VI --The Manager's Responsibility in Directing & Controlling (6 Hours)
Module VII--Managerial Relations with the Union and Employees (3 Hours)

MODULE ONE

INTRODUCTION TO MANAGEMENT

Session 1: The Importance
of Being a Manager

Assigned Test Reading: Chapter 1

Session 2: The Functions
of a Manager

Assigned Text Reading: Chapter 2

PERFORMANCE-ORIENTED WORKSHEET
MODULE ONE, SESSION 1

CURRICULUM: Water Quality Control Program

COURSE: Supervisory Management in the Water/Wastewater Field

SUBJECT MATTER: Managerial Principles

MODULE ONE: Introduction to Management

Session One of Two: The Importance of Being a Manager

Estimated Time for this Session: Three classroom hours

Prerequisites for this Session: Familiarity with content of Lesson One, Section 1, of student manual

PERFORMANCE OBJECTIVE: (3 Parts)

ACTION/TERMINAL BEHAVIOR: The learner will list changes resulting from trends which affect the water or wastewater utility system. The learner will briefly describe major problem areas which affect himself or herself relative to the managerial role in this industry.

CONDITIONS: The learner will be given the areas in which some trends are evident, such as population, and the characteristics of the population, minorities, up-grading of employees, and technology. The learner will be given a listing of 13 areas relating to the water/wastewater field which proved difficult for some individuals.

ACCEPTABLE PERFORMANCE: The learner will list five changes which have affected the water/wastewater utility field within the past five years. The learner will select and describe, in up to three sentences each, three areas which have proved problematic to management in the water/wastewater field.

JUSTIFICATION OF OBJECTIVE: The learner will be a more effective manager if he or she understands some of the current trends, changes and problems affecting managers in the water or wastewater field. Application of Managerial principles are necessary in the water or wastewater managerial hierarchy.

INSTRUCTIONAL ACTIVITIES:

Instructor Activity:

1. Preparation includes familiarity with content of Chapter 1 in the textbook and first section of Lesson 1 in the student manual.
2. Develop the idea that management is the result of accomplishing things through other people, and that being a good manager often requires skill, knowledge of both people and events, and constant attention toward improvement.
3. Emphasize the importance of awareness as it relates to the manager--the ability to grasp both the trends which are evident, and the implications of those trends.
4. Encourage students to provide examples of trends, and changes which they have experienced. Emphasize organizational, as opposed to operational or technical aspects.
5. Establish what the students view as 'management'. Look for mistaken concepts as to management--or the duties of a manager.
6. Introduce the relationship of the manager to certain aspects of the position: examples might be motivation among employees (is this a duty of a manager?), or to group dynamics (where does group interaction start--or stop?).
7. Summarize all class discussion to provide a clearer view of management for the students.

Learner Activity:

1. Provide examples when requested, and offer viewpoints as to management.*
2. Contribute examples relating to trends, changes, and problems in water or wastewater fields.
3. Take Mini-Review quiz as found in the student manual. When prepared, according to the time schedule as presented by the instructor, complete the assigned textbook and student manual readings (and research additional articles, if possible).

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* Throughout course, Instructor may wish to encourage learner presentations as assignments to be prepared prior to class, as well as general spontaneous class discussion.

INSTRUCTIONAL RESOURCES

Selected:

A. Summary of trends, changes and problems as provided by learners involved with course: Learners were asked to list the five changes that have most impressed them in the last five years in their utility or in the general water or wastewater industry. Items are listed according to the number of responses received, starting with the highest.

Increase in Technology - Sixty percent (60%) of the learners responded that this has been the most significant change in their field. Others elaborated more with specific items that had changed. Some of these items included: computerization (10%), better equipment (9%), automation (7%), research and testing (4%), instrumentation (3%), chemicals (2%), and electronics (2%).

Employment - Employment in the field has gone through some rather significant changes, the most important one being the increased technical and education background necessary for employment in the field (cited by 32% of the respondents). More college graduates with technical training are applying for jobs.

Employees - The hiring of women and minorities has been a noticeable change in this field during the last five years (17%). Another change indicated under this category dealt with younger employees (24%). Responses reflecting the feelings on younger employees covered the range from very good to very bad. Many also indicated that compensation and benefits were finally catching up to other occupations (13%), though some felt that wages were not competitive (2%). Unions and labor relations seemed to be an addition to many plants around the country (12%). Of the respondents who indicated an attitude change, good attitude changes outnumbered bad 2 to 1. Other items mentioned were: management and training (9%), shortage of trained employees (8%), advanced opportunities (5%), improved working conditions (5%), shortage of management (4%), and the large number of people entering the field (4%).

Public Interest - Twenty percent (20%) of the respondents indicated that the public is becoming interested in the water they drink and that steps are being taken to protect the environment and control pollution. Nine percent (9%) stated that there are a lot more people to serve, ten percent (10%) mentioned construction and upgrading, six percent (6%) expansion of the system, and four percent (4%) said more plants.

Education - Twenty-five percent (25%) responded that there are more educational programs and opportunities available for operators in this field.

INSTRUCTIONAL RESOURCES

Summary of Trends, Cont.

Federal and State Regulations - Twenty-seven percent (27%) said that federal and state regulations have changed their operations over the past five years. Additionally, fifteen percent (15%) stated that licensing and certification requirements of their localities have made a difference in their jobs. Ten percent (10%) remarked that the EPA has had an effect on their plant; six percent (6%) stated that NPDES and the safe drinking water act has had an impact. Other items listed under this heading were: federal funding (6%), effluent discharge standards (2%), PL 92-500-208 and PL 93-523 (2%), red tape (.7%), sludge reuse (.7%), and the Zero Discharge Law (.5%).

Self-Esteem - Fourteen percent (14%) responded that they felt the public is finally viewing the water and wastewater operator with respect and believe they are starting to see how important water is as a resource. The public awareness in quality and quantity also stimulated scrutiny such as demands for increased efficiency and productivity. This has put substantial pressure an middle managers.

INSTRUCTIONAL RESOURCES

Selected:

B. Future Reference Articles: The following is a list taken from the Future Reference Portion of Lesson One, Section 1, in the student manual, Supervisory Management in the Water/Wastewater Field, Michigan State University, 1977. This list of articles has been included for your information.

Hadeed, S. J., "Enrollment Trends in Environmental Programs," Journal, Water Pollution Control Federation, Volume 48, No. 7, July 1976, pp. 1690-1692.

Jorling, Tom, "A Sign of Things to Come at EPA," Journal, Water Pollution Control Federal, Volume 49, No. 8, August 1977, pp. 1753-1757.

Middlebrooks, E. Joe, J. H, Reynolds, C. H. Middlebrooks, Joseph Bahnick, and Robert F. Ruhl, "Manpower Needs of Local and State Agencies," Journal, Water Pollution Control Federation, Volume 49, No. 8, August 1977, pp. 1786-1810.

Piecuch, Peter J., "Facing Up to the Management Problem," Journal, Water Pollution Control Federation, Volume 49, No. 5, May 1977, p. 725.

Ring, C. A. III., "President's Message," Journal, American Water Works Association, Volume 69, No. 1, January 1977, p. 1.

Wagner, V. G. "Building New Program on Old Foundations," Journal, Water Pollution Control Federation, Volume 48, No. 9, September 1976, pp. 2098-2106.

METHOD OF EVALUATION:

Written test, as located on pages 65-77 in student manual. However, the test is not to be completed until Session 2 of this module is finished.

PERFORMANCE-ORIENTED WORKSHEET
MODULE ONE, SESSION 2

CURRICULUM: Water Quality Control Program

COURSE: Supervisory Management in the Water/Wastewater Field

SUBJECT MATTER: Managerial Principles

MODULE ONE: Introduction to Management

Session Two of Two: The Functions of a Manager

Estimated Time for this Session: Three classroom hours

Prerequisites for this Session: Familiarity with content of Lesson One, Section 2, of student manual

PERFORMANCE OBJECTIVE: (3 Parts)

ACTION/TERMINAL BEHAVIOR: The learner will be able to categorize specific managerial problems and situations as managerial functions. Underlying this behavior is also the ability to describe the types of behaviors found in each of these functions.

CONDITIONS: Given specific managerial problems and situations; also given a specific list of managerial functions (in this case: planning, organizing, staffing, directing, and controlling).

ACCEPTABLE PERFORMANCE: The learner will list each of the 14 'in-basket' items under the correct managerial function, and will include a statement as to the appropriateness of an item under a category which is not considered correct but which may vary due to the individual's interpretation of the subject matter. One hundred percent accuracy required for the item listing. The learner will describe, in three or less sentences each, the types of behavior and problems found in each of the management function categories.

In addition, the learner will select at least 11 correct answers on the objective test, out of the total of 15. This portion of the entire test part deals with content from both Section 1 and Section 2 in the student manual and the assigned reading in the official textbook of the course.

JUSTIFICATION OF OBJECTIVE: The learner will discriminate between 'managing' and 'operating' far more easily if the managerial aspects of the position are able to be categorized by managerial function. Furthermore, the manager will improve managerial performance if each function is able to be distinguished and studied separately.

INSTRUCTIONAL ACTIVITIES

Instructor Activity:

1. Preparation includes familiarity with the content of Chapter 2 of the textbook and section two of the student manual.
2. Draw out official or formal definition of 'management' from the learners.
3. Compare this definition of managing with that of operating. Require the learners to draw distinctions between the two types of work.
4. Ask learners whether the manager (top as well as middle) needs to be technically superior to the subordinates beneath him or her. Note the reasons why learners feel this is necessary for a manager--or why it is not.
5. Analyze the reasons why many managers revert to technical or operating type tasks instead of managerial ones. Again, utilize learners experiences to amplify these reasons.
6. Conduct an 'in-basket' exercise in the classroom using the materials presented in the case example for section two of the student manual. (See Instructional Resources for guidelines here.)
7. List the functions of a manager, and define each one. Require learners to cite specific tasks of a manager in a utility which illustrate each of these functions.
8. Conclude with emphasis on coordination over cooperation as part of the manager's responsibility.
9. Review the material covered in the class session to help learners to catch any aspects which may still be unclear, and to reinforce the ideas.

Learner Activity:

1. Answer the questions posed by the Instructor as appropriate.
2. Contribute examples based on experiences in the areas of: operating vs. managing; reasons for the difficulty of sticking to managerial tasks; the functions of a manager in a water or wastewater utility; and examples of coordination vs. cooperation.

Learner Activity, Cont.

3. Participate as instructed during the 'in-basket' exercise.

4. Take the mini-review as found in the student manual for Section 2. Complete the assigned readings in both the student manual and the textbook. On the instructions of the teacher, take the examination for Lesson One as presented in the test portion of the manual unless told otherwise.

INSTRUCTIONAL RESOURCES

Selected:

A. Directions for conducting a classroom version of the 'in-basket' exercise. The student manual contains 15 pieces of information which may be used as the basis for this 'in-basket' exercise. Ideally, a classroom setting uses the element of surprise in such an exercise, where the learners are handed a packet of information and given a relatively short period of time in which to analyze the contents of the information pieces.

Most instructors have their own approach to such exercises and the following comments are only provided as suggestions:

1. To accentuate the element of surprise, the instructor may want to create some additional pieces of information, either based on intended class discussion for this session or on concepts and ideas which will be presented later in the course.
2. Often, the learners are presented with a packet and provided a minimal amount of time in which to skim the contents. They may be allowed to make notes to help in ordering their ideas.
3. Emphasis is often placed on matters which should be given top priority, based not only on one piece of material as much as the accumulated picture which emerges from the entire group.
4. Classroom discussion of the materials can be most effective. One manner is to go around the room, requiring each learner to give a 'plan of attack' to the materials and the situations as reflected by those materials. (Usually limited to class sizes of 10 or less--if the class is larger, certain volunteers must suffice without all learners having an equal opportunity to speak.) Ideally, it is most interesting to go around the class twice in regard to the establishments of priorities, because individuals will restructure their interpretation of the situation based on the comments of preceding learners as well as their own interpretation. Thus, a collective view of the situation is formulated.
5. This exercise serves several purposes in the course. First, it provides some of the background to the situation which Wilbur Wainwright faces in general; second, it offers an overview to the managerial functions; third, it gives the class an idea of the content and information to be presented in future lessons.

INSTRUCTIONAL RESOURCES

Selected:

B. Future Reference Articles: The following list of articles have been included for your additional information.

Caskey, Clark C., "The Functions of Management," Journal, American Water Works Association, Volume 64, No. 6, June 1972, pp.361-366.

Louis, Leo., "Better Tools for Management," Journal, American Water Works Association, Volume 58, No. 2, February 1966, pp. 146-151.

Note: Two books are also listed in the student manual in the Future Reference part of Section 2. These books are:

Davis, Keith, Human Behavior at Work, Fourth Edition, New York, McGraw-Hill Book Company, 1972.

Kazmier, Leonard J., Principles of Management, A Programmed Instructional Approach, Third Edition, New York, McGraw-Hill Book Company, 1974.

They are quite different in approach, but both cover the same general managerial areas as the chosen textbook by Haimann and Hilgert. The instructor may appreciate having additional reference material on the managerial principals--in which case both books will be of aid. The Davis Text is more traditional in its approach. The Kazmier text is a programmed learning aid, and may be suitable for some classroom situations.

METHOD OF EVALUATION

The written test, which follows Section 2 of Lesson One, pertains to all material in Lesson One. First, a copy of the test portion as it appears in the student manual is included here. Second, answer keys are provided for the Objective Portion, and guidelines are included for the Subjective Portion of this first test.

OBJECTIVE TEST: LESSON ONE

This Test covers both Sections 1 and 2 of Lesson One in the Manual and includes Chapters 1 and 2 in the text.

This is your first test. You are to send in the answer sheets (just the answer sheets) in both the objective test and the subjective portion. You may leave this test itself in your book to use for personal reference. The answer sheet in this part is located on the preceding page, page # 65.

1. Certain characteristics of supervision generally appear to encourage mere productivity and employee satisfaction, regardless of the type of work being performed.

   a. True
   b. False

2. The 1970's have had a shortage of persons in the __________ age bracket as far as employment is concerned.

   a. 17-24
   b. 25-35
   c. 35-50
   d. 50-65

3. The orderly putting together of employee efforts so that their organized efforts accomplish the stated objectives of the enterprise is __________.

   a. cooperation
   b. coordination
   c. a willingness of employees to work together
   d. delegation

4. A manager is one who:

   a. gets things done by himself or herself (that way you know they ARE done)
   b. gets things done with and through other people
   c. gets things done by working right alongside other employees
   d. gets things done by any or all means possible

5. The need for individuals with managerial skills will be ____________________ in the future, considering the employment trends.

   a. decreasing
   b. increasing
   c. constant
   d. unknown

---

* Page numbers in parenthesis indicate location of this test in the student manual.

COPY OF TEST FROM STUDENT MANUAL

Lesson One
Objective Test
Keep this page in your book

6. By 1980, it is expected that there will be well over _____________ water and wastewater utilities.

   a. 50,000
   b. 75,000
   c. 100,000
   d. 300,000

7. All managers perform all five functions, although the amount of time spent at each function differs between managers and their particular areas of responsibility.

   a. True
   b. False

8. One of the reasons why supervisors tend to fall back upon their technical skills is that application of such technical skills often brings immediate and direct feelings of accomplishment and satisfaction.

   a. True
   b. False

9. It has been estimated that there will be a need for _______________ supervisors and managers by 1985.

   a. 30 percent more
   b. 30 percent fewer
   c. 5 percent more
   d. 10 percent fewer

10. The five functions of the manager or supervisor as listed in the text are:

    a. planning, organizing, staffing, directing, controlling
    b. planning, motivating, delegating, coordinating, and controlling
    c. planning, maintaining, communicating, organizing, and controlling
    d. planning, directing, staffing, motvating and controlling

11. In general, women now occupy more than __________________ of the work force, although the percentage of women in the water and wastewater field is far lower.

    a. 10 percent
    b. 20 percent
    c. 30 percent
    d. 40 percent

12. The managerial function which answers the question, "how will the work be divided and accomplished?" is that of:

    a. planning
    b. organizing
    c. staffing
    d. directing

COPY OF TEST FROM STUDENT MANUAL

Lesson One
Objective Test
Keep this page in your book

13. The trend in employment today appears to be toward:

    a. having the supervisor match people to jobs
    b. having the supervisor match jobs to people
    c. hiring individuals to fill a certain job without much promotional emphasis
    d. hiring individuals only at entry level positions

14. The managerial function which includes guiding, teaching and supervising subordinates is:

    a. organizing
    b. staffing
    c. directing
    d. controlling

15. Leadership is:

    a. born into a person, not made
    b. provided only through a person's position
    c. the ability one possesses to influence others
    d. automatic as a result of the supervisory position of responsibility

This is the end of the Objective Test, NOW, go right on to the Subjective portion.

COPY OF TEST FROM STUDENT MANUAL
NAME______________________________

Lesson One
Subjective Portion
To Be Sent In

SUBJECTIVE PORTION, PART I.

PART I. A. Changes have been occurring in the water/wastewater industry. List _five_ changes that have _most_ impressed you in the past five years in your utility, or in the general industry.

1.

2.

3.

4.

5.

PART I. B. Look over the list below of these areas and _circle the three (3) items_ which you feel are being, or have been in the past, the greatest source of discontent or problems for you. Give the reasons for your choice in each case. (Use as much space as you need, back of this sheet or extra sheets.)

1. growing population--keeping up with the demand
2. changing makeup of employees, minorities, etc.
3. advancing technology--keeping up with innovations
4. motivation of employees
5. problem solving
6. communication
7. authority delegation
8. planning
9. organizing
10. staffing
11. directing
12. controlling
13. labor relations

GO RIGHT ON TO NEXT PAGE

COPY OF TEST FROM STUDENT MANUAL

NAME ______________________________

Lesson One
Subjective Portion
To Be Sent In

SUBJECTIVE PORTION, PART II.

PART II. Wilbur had to pick up the reins at the River City Utility System without much help. He used the correspondence on Herb's desk to give him an idea of the types of problems he would be encountering in the coming days. Wilbur decided to group the problems facing him into the five managerial functions. Read over the letters and memos carefully, and list each one under at least one category (some will indicate problems which overlap into two or more categories). Then describe, in one to three sentences, why you listed each item under a particular category(ies). We are interested in your analysis of the situation because for some memos there is no one best answer. Use the back of this sheet if more room is needed.

1. Planning

2. Organizing

3. Staffing

4. Directing

5. Controlling

This concludes the Test Portion for Lesson One. Please send in the answer sheets for both the Objective and Subjective Portions. Now, turn the page to complete the Get-Acquainted questionnaire...

OBJECTIVE TEST: LESSON ONE

Master Answer Sheet

1. Certain characteristics of supervision generally appear to encourage more productivity and employee satisfaction, regardless of the type of work being performed.

   a. True
   b. False

(The answer is A, "True". See text, page 14.)

2. The 1970's have had a shortage of persons in the _______ age bracket as far as employment is concerned.

   a. 17-24
   b. 25-35
   c. 35-50
   d. 50-65

(The answer is C, "35-50". See text, page 2.)

3. The orderly putting together of employee efforts so that their organized efforts accomplish the stated objectives of the enterprise is ___________.

   a. coordination
   b. cooperation
   c. a willingness of employees to work together
   d. delegation

(The answer is A, "coordination". See text, page 30.)

4. A manager is one who:

   a. gets things done by himself or herself (that way you know they ARE done)
   b. gets things done with and through other people
   c. gets things done by working right alongside other employees
   d. gets things done by any or all means possible

(The answer is B, "gets things done with and through other people". See text, page 21.)

5. The need for individuals with mangerial skills will be ____________ in the future, considering the employment trends.

   a. decreasing
   b. increasing
   c. constant
   d. unknown

(The answer is B, "increasing". See text, page 2.)

6. By 1980, it is expected that there will be well over _____ water and wastewater utilities.

   a. 50,000
   b. 75,000
   c. 100,000
   d. 300,000

(The answer is C, "100,000". See manual*, page 12.)

7. All managers perform all five functions, although the amount of time spent at each function differs between managers and their particular areas of responsibility.

   a. True
   b. False

(The answer is A, "True". See text, page 28.)

8. One of the reasons why supervisors tend to fall back upon their technical skills is that application of such technical skills often brings immediate and direct feelings of accomplishment and satisfaction.

   a. True
   b. False

(The answer is A, "True". See manual, page 49.)

9. It has been estimated that there will be a need for _______________ supervisors and managers by 1985.

   a. 30 percent more
   b. 30 percent fewer
   c. 5 percent more
   d. 10 percent fewer

(The answer is A, "30 percent more" supervisors and managers by 1985. See text, page 2.)

*'Manual' refers to content in the Student Manual instead of the Textbook.

10. The five functions of the manager or supervisor as listed in the text are:

    a. planning, organizing, staffing, directing, controlling
    b. planning, motivating, delegating, coordinating, and controlling
    c. planning, maintaining, communicating, organizing, and controlling
    d. planning, directing, staffing, motivating, and controlling

(The answer is A, "planning, organizing, staffing, directing, and controlling. See text, page 22.)

11. In general, women now occupy more than __________ of the work force, although the percentage of women in the water and wastewater field is still far lower.

    a. 10 percent
    b. 20 percent
    c. 30 percent
    d. 40 percent

(The answer is D, "40 percent". See text, page 3.)

12. The managerial function which answers the question "how will the work be divided and accomplished?" is that of:

    a. planning
    b. organizing
    c. staffing
    d. directing

(The answer is B, "organizing". See text, page 25.)

13. The trend in employment today appears to be toward:

    a. having the supervisor match people to jobs
    b. having the supervisor match jobs to people
    c. hiring individuals to fill certain jobs without much promotional emphasis
    d. hiring individuals only at entry level positions

(The answer is B, "having the supervisor fit more jobs to the employee's individual needs". See text, page 8.)

14. The managerial function which includes guiding, teaching, and supervising subordinates is:

    a. organizing
    b. staffing
    c. directing
    d. controlling

(The answer is C, "directing". See text, page 26.)

15. Leadership is:

a. born into a person, not made
b. provided only through a person's position
c. the ability one possesses to influence others
d. automatic as a result of the supervisory position of responsibility

(The answer is C, "the ability one possesses to influence others". See text, page 11.)

SUBJECTIVE PORTION, PART I, A.
Sample Answers

Learners were asked to list the five changes that have most impressed them in the last five years in their utility or in the general water or wastewater industry. In addition to listing these changes, some learners also included comments. A sampling of these comments, according to the seven most popular headings, follows.

1. Increase in Technology

- Growth in technology.
- Expanding technology.
- The increasing complexity and technical changes.
- Expanding technology - more sophisticated equipment and processes.
- Electronic technology that is available.
- Technology is progressing faster and faster.
- The increasing use of computer technology in the larger utilities.
- Better testing techniques.
- The increased use of highly complex scientific instruments.
- Dependence on electronic and highly technical equipment.
- Advancement in treatment methods and equipment.

2. Employment

- Growing sophistication of industry and need for more skilled and educated scientific and technical personnel.
- The increase in educational skills and knowledge of younger and newer employees within public employee ranks.
- Employees' increased educational background.
- The number of people with college backgrounds that enter this field.
- Increased educational and technical backgrounds of employees.

3. Employees

- Excess of minority groups.
- The hiring and training of women to fill non-traditional type public utility jobs.

- Increased number of younger workers and women involved in the utility.
- Motivation of employees is easier; younger more educated employees tend to be easily motivated for advancement.
- The workers are younger, more radical, unorganized in general.
- More women in the industry, (engineers, operators and other employees).
- New and younger personnel that just don't care, (pride in job).
- The unionization of public utility employees.
- The number of young people entering the field.
- The younger age of people seeking management jobs.
- The generation gap.

4. Public Interest

- Increased concern for clean water - fishable, swimmable.
- The public is more aware of what is taking place in the industry and they become overnight experts.
- The public becoming more concerned about pollution.
- The interest of the public, especially younger generation, in pollution problems.
- Public demand for cleaner water.

5. Education

- More educational programs available in these fields.
- The educational courses and classes available to the plant operator.
- Increased emphasis on training and continuing education.
- More training for operators.

6. Federal and State Regulations

- New federal and state laws involving water/wastewater.
- Stricter licensing requirements.
- Federal funding for construction of new plants.
- Pure Water Act.

- Laws requiring certified operators for water and wastewater facilities.
- OSHA and EPA

7. Self-Esteem

- More pride of employees in their profession.
- Trend to professionalize personnel in the field.
- Recognition of importance of the field.
- Public awareness to importance of industry.
- The professionalism of the new operators and the pride that they have serving in this field.
- Upgrading of the self-esteem and public image of water/wastewater plant operators.

SUBJECTIVE PORTION, PART I, B.
Sample Answers

The following comments were among the responses concerning problem areas in the water/wastewater area.

1. Population demands - Growth, Conservation

   ·Cities are experiencing economic growth - future projections have to be made just to keep up.

   ·Expansion of plants is creating need for more employees - hard to keep up in regard to employee training.

   ·Increase in laboratory work.

2. Changing makeup of employees

   ·Hiring minorities has been a problem, but have learned to deal with it; difficult to find qualified minorities to hire.

   ·Employees seem to expect more help from their employers.

   ·Fewer employees seem to enjoy honest labor.

   ·More employees seem to have educational backgrounds but no practical experience.

   ·Younger employees or minority employees seem to have different needs; difficulties arise when they are supervised by older employees.

   ·Morale problems brought on by clashes between older employees and younger minority employees.

3. Advancing technology

   ·New equipment and processes require further and continual schooling in proper utilization.

   ·Stricter regulations require greater employee knowledge - especially on the part of operators.

   ·Difficult to find time to keep informed.

   ·Technical advancement especially difficult for smaller municipalities.

   ·More responsibility for training falling on management since management is seen as the instigator in bringing in new equipment.

   ·Many problems still exist in new processes, such as recycling wastewater for use in irrigation.

SUBJECTIVE PORTION, PART I, B. (Cont.)
Sample Answer

4. Motivation of employees

   - Employees who are disinterested in their occupation cause difficulty in training and reduce the morale of others - problems of clock watchers, abuse of sick leave, etc.
   - Current union and Civil Service regulations make it difficult to discharge an employee.
   - Smaller systems have even more difficult time keeping "personalities" from interfering with plant operation.
   - Many motivational areas are out of range of middle managers.

5. Problem solving

   - Seems to be the subject of each item in this list. Problem solving, as such, does not appear to be of concern to middle managers as much as the individual problem areas.

6. Communication

   - Getting the right information to the right person.
   - Both communication and motivation are a daily challenge.
   - Problem of communication between office and clientele.
   - Generation-gap communication problems.
   - Communication gap between management and employees hinders getting the job done.

7. Authority delegation

   - Many want power to direct, but not responsibility or training necessary to do so.
   - Policy of hiring most senior employee for a position regardless of experience makes delegation extra difficult.
   - Many students reported that delegation of authority was one of the hardest things for them to learn.

8. Planning

   - Difficult to get organized enough to do one-year plan.
   - Planning in a bureaucracy not functional because of federal funding or even town council.
   - Maintenance uncertainties make planning difficult.

9. Organizing

- People seem to feel that they are owed a living today - hence, getting workers for weekend operations, etc. presents problems.

10. Staffing

- Hard to get employees to go to school to qualify for state certification.
- Salaries seem too low at present to attract qualified personnel.
- Rapid growth in industry plus poor economics and small labor pool make hiring difficult.
- Employee market restricted to those passing the Civil Service tests.
- Past performance standards were very low - have to help staff change from old to new ways, and keep them updated.
- Problem of finding qualified people willing to work on weekends.
- Problem of finding qualified people capable of being advanced to supervisory positions.

11. Directing

- Many of the problems listed under planning, organizing, and staffing overlap into this category - some problems, such as shift schedules, are particularly relevant.

12. Controlling

- Controlling in regard to suppliers and vendors is especially difficult.

13. Labor relations

- Often, it seems that reasonable and proper decisions cannot be properly instituted because they would violate some section of the union contract.
- Advent of municipal unions has made labor relations more difficult and time consuming.
- Advent of unions seems to support the 'we' - 'they' aspect in relation to 'supervisors' - 'subordinates.'

SUBJECTIVE PORTION, PART II.

Lesson One
Subjective Portion
Answer Key

The following information is not the final word on the analysis of the memos, but does apply the managerial concepts in a generally accepted manner. The analysis indicates the categories that each memo involves. However, a review of the analysis is more worthwhile than just selecting the best category (ies) for the memos. It is important to note that each memo can be placed in several categories.

Exhibit 1. Christmas List

- Involves planning both for Christmas and for use in time of emergency.

Exhibit 2. Memo on Tardiness - Watson to Carson, August 2.

- Reasons for tardiness must be determined and then a solution must be developed and implemented before the problem becomes more serious.
- Lack of motivation on part of employees.
- Morale of afternoon shift if new boss cracks down, resentment if he does not by day shift.
- Supervisor not providing proper direction and control of policies.
- Organizing and planning are involved if the start times of the afternoon shift are modified.

Exhibit 3. Memo on Staffing - Watson to Swenson, August 2.

- Planning to meet manpower needs of plant and establish position specifications considering priorities and trained versus untrained people.
- Staffing to interview, test, select, and train new employees.
- Use of job specifications and staffing guides.

Exhibit 4. Letter from Hazel Weirton to Watson, July 24.

- Customer relations problem that should be handled by informing the customer that the problem is being reviewed.
- Planning, organizing, directing, and controlling a task to determine if corrective action can be taken to improve the pressure of if not, make suggestions to the customers to minimize the problem.

Exhibit 5. Memo on Low Pressure - Watson to Smith, August 2.

- Illustration of internal communication; one which implements external communication program.
- Customer relations problem.
- Public relations involving the press.
- Control problem in that Watson does not know status of the project.
- Organizing, planning and control for the customer relations, press release and project do not appear adequate.

Exhibit 6. Memo on Low Pressure - Smith to Watson, August 3.

- Planning and organizing of the project are indicated.
- Control is illustrated since the memo serves as a status report.
- Internal communication.

Exhibit 7. Letter to Hazel from Watson, August 4.

- Problem involving all management functions if the schedule is not met to complete the project by summer.
- Is an example of attempt to improve customer relations by informing customer that complaint is being acted upon and the problem should be corrected in the future.

Exhibit 8. Memo on Personnel Problem - Smith to Carson, August 14.

- Staffing problems if Hal Jones has to be replaced.
- Morale problem if other employees have to continue to perform his work.
- Indicates lack of planning since Mr. Smith should have known the nature of his illness and considered the possibility of the problem upon return of Mr. Jones.
- Organizing action problem in that Mr. Smith could possibly redefine the job specifications to reduce Mr. Jones responsibilities and reassign to the other employees with authorization for change in wages.
- Directing in that Smith is responsible for making certain that individuals are able to carry out assigned tasks.

Exhibit 9. Memo on Absenteeism - Swenson to Carson, August 15.

- Planning might help keep absenteeism from becoming worse.
- Motivation of employees could be the primary reason for absenteeism.
- Lack of direction and controlling have probably contributed.
- Reasons for increase in absenteeism should be investigated.

Exhibit 10. Memo on Cost Reduction - Watson to Carson, August 16.

- Planning, organizing and directing cost reduction programs will help achieve this goal.
- Cost reduction also requires control through budgets.
- Employees should be motivated to be conscious of the need for cost reduction.
- Emphasizes the importance of controlling cost of operation.

Exhibit 11. Memo on Equipment Storage - Smith to Carson, August 17.

- Illustrates lack of control over inventories and/or lack of planning for space for storage.
- A study should be organized and directed to determine if additional space is needed or if inventory can be reduced which might eliminate the need for additional space.

Exhibit 12. Memo on Overtime - Appleton to Swenson, August 20.

- Could indicate a staffing problem.
- Also inadequate communications and direction between supervisor and employee since problem should have been solved by immediate supervisor.
- Re-organization of work schedule may be required, hence planning or organizing.
- Possibly could create a union problem.

Exhibit 13. Memo on Overtime - Plaugh to Swenson, August 21.

- Similar to Memo 12.
- Tone of this memo suggest that Mr. Plaugh is more anxious about the overtime issue than Mr. Appleton.

Exhibit 14. Memo on Supervisory Problem - Smith to Watson, August 24.

- Indicates failure of Mr. Smith to control his area of responsibility. He has not provided proper direction to the supervisors.

- Inadequate training and motivation provided to the supervisor.

- Problem could require shift in staff and/or reorganization of responsibilities.

- Smith must provide stronger direction to ensure that the supervisor is trained and willing to delegate responsibilities to his men.

Exhibit 15. Memo on Supply Control - Watson to Staff, August 25.

- Lack of control of costs that can be reduced without lowering service.

- Indicates a need for planning, organizing, and directing of a cost reduction program.

- There is a need to motivate each employee to look for ways to reduce costs in all areas.

To summarize, then, the memos analyzed on the preceding pages have been categorized in the format of the answer sheet in the student manual. The Instructor will note that some memos are listed under more than one category--there is no single right answer. The emphasis of this portion of the test should be on the analysis--perhaps in a sentence or two--and not merely listing each memo under the "right" heading.

1. Planning: Exhibits # 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 15

2. Organizing: Exhibits # 2, 4, 5, 6, 7, 8, 10, 11, 12, 13, 14, 15

3. Staffing: Exhibits # 3, 7, 8, 12, 13, 14

4. Directing: Exhibits # 2, 4, 7, 8, 9, 10, 11, 12, 13, 14, 15

5. Controlling: Exhibits # 2, 4. 5, 6, 7, 9, 10, 11, 14, 15

MODULE TWO

THE MANAGER'S RESPONSIBILITY TOWARD DELEGATION AND MOTIVATION

Session 1: Delegation: Authority
and Responsibility

Assigned Text Reading: Chapter 3

Session 2: The Manager
and Motivation

Assigned Text Reading: Chapter 4

PERFORMANCE-ORIENTED WORKSHEET
MODULE TWO, SESSION 1

CURRICULUM: Water Quality Control Program

COURSE: Supervisory Management in the Water/Wastewater Field

SUBJECT MATTER: Manager Principles

MODULE TWO: The Manager's Responsibility Toward Delegation and Motivation

Session One of Two: Delegation: Authority and Responsibility

Estimated Time for this Session: Three classroom hours

Prerequisites for this Session: Familiarity with content of Lesson Two, Section 1, of student manual

PERFORMANCE OBJECTIVE: (3 Parts)

ACTION/TERMINAL BEHAVIOR: The learner will identify reasons why delegation is difficult for many managers. The learner will list the steps involved in training of employees so that tasks will be able to be delegated to competent employees (the list referred to as the Six D's of training). The learner will state the three-part progression involved with delegation, beginning with the assignment of duties. The learner will be able to identify suggestions regarding delegation for each of these areas: the task, the individual(s), the delegation assignment and the completion. Finally, the learner will describe pitfalls which inhibit delegation from being as successful as it might be.

CONDITIONS: The learner will be given a situation in which the manager is not utilizing delegation properly. The learner will be given the first part of delegation (assignment of duties) when asked for the second and third parts. The learner will also be provided with four areas which have impact upon delegation: tasks, individuals, the delegation assignment and the completion schedule.

ACCEPTABLE PERFORMANCE: The learner will identify four reasons why delegation is difficult in one or two sentences each, as stated in the course manual. The learner will list the six steps involved with training using the Six D's listing or a statement which refers to each step. The learner will list the second and third parts of delegation when given the first part of assignment of duties, in one sentence each. The learner will identify two suggestions regarding delegation for each of the following areas, using one or two sentences each; task, individuals, delegation assignment and completion schedule. The learner will describe, in one or two sentences, six pitfalls (as listed in the course manual) which inhibit proper delegation.

JUSTIFICATION OF OBJECTIVE: Delegation is crucial for a manager since, by definition, a manager is one who accomplishes goals and objectives through others. The learner will avoid many of the problems which inhibit proper delegation and will have a better understanding of correct delegation.

INSTRUCTIONAL ACTIVITIES:

Instructor Activity:

1. Preparation includes familiarity with content of Chapter 3 in the textbook and the first section of Lesson Two in the course manual.

2. Have students take delegation quiz in manual (if they have not already done so). Discuss results.

3. List reasons which class members provide why delegation is not utilized properly in many cases.

4. Demonstrate the Six D's of training in the classroom. Have one student 'train' another student in the task of putting on a coat, or a similar variation of this exercise. Another possibility is to divide the class members into small groups of two or three and demonstrate a skill to the class, using the Six D's. Skills which might be effective could relate to water or wastewater area, or might be as simple as tying a tie, or even mixing a martini.

5. Discuss the three-parts of delegation: assignment of duties, granting of authority and the assumption of the responsibility for the performance of those duties. Analyze questions or problems which accompany these parts. One question which students may want to discuss deals with the final responsibility for the accomplishment of the task--is this the responsibility of the subordinate or the manager?

6. Analyze, with the help of class member contributions, the steps which relate to the four areas of delegation:

   a. Task selection
   b. Individual selection
   c. Delegation assignment
   d. Completion schedule

7. List pitfalls which inhibit delegation; request additional suggestions from class members.

8. Summarize major points and class discussion to provide emphasis on major aspects of delegation.

Learner Activity:

1. Contribute to class discussion and Instructor-generated discussion on delegation, including personal examples and opinions based on experience.

Learner Activity, continued

2. Participate in group or individual exercises relating to training steps.

3. Take Mini-Review as found in student manual, having completed reading assignments as directed by Instructor.

INSTRUCTIONAL RESOURCES

Selected:

A. The manager supervises a number of resources, and it is effective use of these resources which enables the manager to accomplish the required duties and tasks. Of all resources, the employees are the most important resource of the manager.

"People Are Our Most Important Resources"*

I. Introduction

II. The Israeli vs. the Arab

	ISRAEL	ARAB STATES(Egypt,Syria,Iraq,Saudi Arabia)
A. Population	3.5 million	45 million
B. Area	8000 square miles	1,230,000 square miles

- C. Considering the odds, why does the Israeli win?
  1. Because:
     - a. He is better motivated
     - b. He is better trained
     - c. He has better leadership
  2. Not Because:
     - a. He gets better pay
     - b. He gets better food
     - c. He has better working hours
- D. We as Managers can effect all three of the positive reasons in dealing with our employees; can do very little about the negative reasons.

III. Some of the differences in the way prospective employees and managers look at a job (position) that needs to be filled

- A. The Manager:
  1. Needs the job done
  2. Has a budget he cannot exceed
  3. Will be measured by results
- B. The Prospective Employee:
  1. Needs an income
  2. Wants security

---

*Remarks prepared for Area Superintendent & Shift Superintendent Seminars, St. Paul, Minnesota, May 25, 1976 and May 28, 1976.

3. Wants good working hours and conditions
4. Wants recognition
5. Does not want to be bored to death

C. If the Manager does not reach his goals, he gets fired.

D. If the Employee does not reach his goals, he quits.

IV. How can we as Managers reach our goals?

A. Slavery--

1. Satisfied all of management's needs
2. Offered the employee only recognition

B. Military Service - The Army or the Foreign Legion--

1. Satisfied all of management's needs
2. Offered the employee only recognition

C. By good sound management of our jobs and leadership of our employees.

V. We as Managers can reach our objectives and at the same time give a considerable degree of attention to the needs of our employees. Some suggested ways:

A. Since the employees income and security is controlled by budgetary considerations, we must take every opportunity to provide input to the budget forming process - VOLUNTEER. If you do not, for whatever reason, do not complain about the results.

B. Instruct the new man in what he is to do. (When does a man really find out his job description? When he is fired!)

C. Give positive, clear and complete instructions. (If we are going to measure a man by how well he does what we direct him to do, we have a responsibility to speak and write not only in a manner that can be understood, but also in a manner that cannot be misunderstood.)

D. To get the results we want from our directives, we must speak and write in the same language as the listener. (Whose job is that? The managers', not the employee.)

E. If we only say what we want done and not how to do it, be sure we measure the man by the results and not by his methods.

F. After giving instructions, ask the employee what he thinks he has been asked to do. (You will be amazed at what he heard you say.)

G. Give the employee recognition--

1. Most kids get it from their parents
2. Students get it from grades and honor roles
3. The military does it with medals
4. When a man retires, we give him a dinner and a gold watch

(Why do we ignore recognition during the 40 to 50 years of an employees working life? Try the following:

a. Man to Man - a verbal pat on the back
b. To his Peers - give credit where credit is due)

H. Let your people work with you and not for you.

I. Let your people know that they will be the largest single factor in either your success or your failure--the choice is theirs.

J. Build and maintain a positive attitude in yourself and project it to your employees.

1. No man enthusiastically follows a discouraged leader.
2. You seldom reach a goal unless you start out believing it can be reached.
3. Do not let your employees become discouraged with the system, but encourage them to adopt the thought best expressed in the prayer:

> "God grant me the serenity (calmness) to accept the things I cannot change, the courage to change the things I can, and the wisdom to know the difference."

INSTRUCTIONAL RESOURCES

Selected:

B. Chronic Delegation Problems

I. REASONS FOR UNSUCCESSFUL DELEGATION

1. Objectives not set
   - No proper guidelines for action are established or control of authority.
   - The manager must be present to assure smooth running.
2. Policies not clearly understood
   - This leads to unclear guidelines also.
3. Job not clearly defined
   - Confusion here invariably leads to undesired results.
   - Relations with others and limits of own authority are unclear.
   - This is time consuming and often not worked out.
4. Manager not receptive to new ideas
   - Manager may give many "how's" to accomplish some "what's."
   - He discourages delegatee's ideas and initiative.
   - Delegator works out only small details.
5. Manager not willing to accept mistakes
   - Manager may not encourage delegatees to learn by mistakes.
   - He may react so strongly that delegatees withdraw into a shell.
   - He fails to set up controls to limit severity of mistakes.
6. Inability to let suborinates do their own thinking
   - Hands delegatee answers when asked rather than encouraging delegatee's to think out problems themselves.
7. No controls established
   - Objectives will not be reached.
   - Absence of control allows delegatee to run far beyond acceptable bounds of behavior which causes delegation to fail.

II. REASONS FOR RELUCTANCE TO DELEGATE

1. "I can do it better myself" fallacy

   - Manager often can do a given job better, but can't do them all.
   - "If you want something done well, do it yourself" - not for the manager.

2. Lack of ability to direct

   - When troubles arise in communicating to a subordinate--(leading to misunderstanding)--then we're talking about inability to direct.

3. Lack of confidence in subordinates

   - Delegatees never given the chance or proper guidance in successfully completing an assignment.

4. Unwillingness to take a chance

   - May let one bad experience outweight many good ones.

5. Absence of controls

   - Improper Managerial & Organizational controls often lead to unsuccessful delegation--problems grow in magnitude before they're caught.

III. REASONS FOR RELUCTANCE TO ACCEPT DELEGATION

1. It's easier to ask the boss

   - Once the boss becomes the substitute for the delegatee's own thinking, the boss is sunk.

2. Fear of criticism of mistakes

   - Cannot accept or learn from mistakes.
   - Boss may have criticized delegatee rather than concentrate on the situation in the past.

3. Incapable (lacks knowledge)

   - A natural feeling on an assignment one hasn't done before may indicate poor support from the boss in the past.
   - Possibly delegatee's past performances and training was not properly evaluated.

4. Lacks self-confidence

- To some degree this is always present.
- Possibly in the past the delegatee's self-confidence was damaged by:
  - Improper assignment of a series of tasks that were too complex for the delegatee's ability.
  - Lack of recognition for completed assignments of increasing complexity.
- Lack of support and guidance of training.

5. Overloaded with work

- Might indicate wrong person chosen.
- Might indicate unequal allocation of assignments.
- Might need to relieve delegatee of other work.

6. No incentive

- Assignments in total are not preparing delegatee for: promotion, recognition, merit increases, prestige among others or realizing his/her real ambition.
- Subordinate will not accept extra mental effort or emotional pressure unless he sees a value in himself.

INSTRUCTIONAL RESOURCES:

Selected:

C. On the following pages you will find an example of a delegation of authority problem, with an accompanying answer portion (arranged in the five-step problem-solving sequence used throughout this course).

DELEGATION OF AUTHORITY PROBLEM

The meter repair section consisted of four employees; one employee held a leader-type position and was responsible for all work done. He would give out work assignments to the three employees below him but when a large compound-type meter needed work or testing, he would do the work and allowed no other repairman to work on the meter.

The quality of the work on the large meters was bad; this was reflected by the repeat calls to repair or service meters that had been worked on before.

The quality of work was low. This was due to the dissension within the meter shop and it was beginning to carry over into other sections of the department.

The identification of the problem came from employees. I held a meeting with each of the repairmen to find out why we were having so many problems. After I heard their description of how the section was being run, I then decided to run an audit on the job cards and on the inventory.

The cards indicated repeat work done on meters in a short span of time. The audit on the inventory showed the supply room was over-stocked on some parts and under-stocked or no stock supplies in other crucial areas.

DELEGATION OF AUTHORITY PROBLEM

- SOLUTION -

I. PROBLEM

Problem and source already indicated on previous page.

II. DEVELOPING A SOLUTION TO THE PROBLEM

A. The problem is inadequate leadership and decaying morale. It is evident that the leader is not qualified to do the job or to delegate authority.

B. The objective would be to turn this problem around. Teaching the other men how to test and repair large meters. Delegation of authority to the other men so they would be responsible for certain jobs. Elevate morale so the amount and quality of work increases.

III. DEFINING THE POSSIBLE ALTERNATIVES AND CRITERIA

A. Define the possible alternatives

1. Demote the leader.
2. Discharge the leader.
3. Hold a meeting with the leader to turn things around.

B. Define the criteria

1. The cost of repeat work.
2. Impact on employees motivation.
3. Impact on customer service.
4. Impact on public relations.
5. Impact on employee morale.

C. Meeting with each man in the meter shop so I would have a total understanding of the problems they were having. A meeting with the leader to find out what problems he was having. Also, checking the records and personnel files of all involved.

DELEGATION OF AUTHORITY PROBLEM

SOLUTION, Cont.

IV. EVALUATING ALTERNATIVES

It would take more than this to discharge the employee. It was management who allowed this to happen, not because they were not observant, but because there was no direct supervisor for a long period of time.

A meeting with the leader to try and turn things around would be of no value. Previous meetings and a review of his personnel file and records gave evidence that the employee was not qualified to do the job he was being paid to do.

Demotion of this employee would be the only course of action to take.

V. IMPLEMENTING RECOMMENDATION

The employee was told he would be demoted and processing of the demotion began, but before the demotion was final the employee transferred to another job.

The employee who took the job as leader was well qualified and was liked by the other employees.

At the time I informed him of his promotion, we had a very informal talk. He agreed that all the men should learn all the jobs and should be delegated authority to give them responsibility and to build up their confidence.

Our meter shop today is well-organized and very efficient. All of the men have areas of responsibility and any repairman could take over for another repairman who may be absent and do his job. The work today is superior to what it was just a short time ago.

Delegation of authority has worked well in this area for us. These men work on and are responsible for commerical meters that are accountable for thousands of dollars each month.

They take pride in their work and the competition between them to solve a problem is very keen.

INSTRUCTIONAL RESOURCES

Selected:

D. Future Reference Articles: The following list of articles appear in the Future Reference portion of Lesson Two, Section 1, in the student manual, Supervisory Management in the Water/Wastewater Field, Michigan State University, 1977. This list has been included for your additional information and benefit.

Davis, Keith, Human Behavior at Work, McGraw-Hill Book Company, New York, 1972, pp. 196, 203.

Oncken, William, Jr. and Wass, Donald L. "Management Time: Who's Got the Monkey?" Harvard Business Review, November, December, 1974, pp. 75-80.

Note: This article is included here for your benefit.

ARTICLE "MANAGEMENT TIME: WHO'S GOT THE MONKEY?"
DELETED DUE TO COPYRIGHT RESTRICTIONS

METHOD OF EVALUATION

Written test, as located on pages 139-149 of the student manual. Test is not to be completed until Session 2 of this module is completed.

PERFORMANCE-ORIENTED WORKSHEET
MODULE TWO, SESSION 2

CURRICULUM: Water Quality Control Program

COURSE: Supervisory Management in the Water/Wastewater Field

SUBJECT MATTER: Managerial Principles

MODULE TWO: The Manager's Responsibility Toward Delegation and Motivation

Session Two of Two: The Manager and Motivation

Estimated Time for this Session: Three classroom hours

Prerequisites for this Session: Familiarity with content of Lesson Two, Section 2, of student manual

PERFORMANCE OBJECTIVE: (3 Parts)

ACTION/TERMINAL BEHAVIOR: The learner will list as many indications as possible of low employee motivation and morale based on the scenario in the student manual. The learner will then list suggestions, based on the motivation studies presented in the manual, textbook and other sources, for overcoming these motivation problems.

CONDITIONS: The learner will be given the basic literature on motivation, containing definitions and descriptions of the concepts as projected by authorities, including Maslow, Herzberg and McGregor (author of Theory X/ Theory Y concept). Also, the learner will be provided with a scenario which contains various employee motivation problems.

ACCEPTABLE PERFORMANCE: The learner will be able to (1) list the five need areas as projected by Maslow in order, starting with the most basic needs; (2) identify the two different aspects as stated by Herzberg, one of which leads to job satisfaction, the other of which leads to job dissatisfaction; (3) define, in one or two sentences, the characteristics of Theory X and Theory Y managerial styles, and list at least two advantages and disadvantages of each approach; (4) identify at least five job or working conditions which may indicated low employee morale or motivation, and list at least four general ways in which employee motivation may be improved.

JUSTIFICATION OF OBJECTIVE: Employees who are motivated to perform their best on the job produce a more pleasant existance for everyone. The manager who is able to motivate employees in their job often has a higher quality of work accomplished, more work completed, less absenteeism or tardiness, less waste as to equipment loss or breakage and a happier working environment for all.

INSTRUCTIONAL ACTIVITIES:

Instructor Activity:

1. Preparation includes familiarity with content of Chapter 4 in the textbook and the second section of Lesson Two in the course manual.

2. Open by asking learners to list all the things they like about their job, and then list all the things they dislike about their job. Construct a composite list on blackboard from all learner input.

3. Look at the lists and contrast the types of things which learners like about their jobs, noting (in the majority of cases) that the things which learners like and dislike are not opposites of each other (for example, pleasant surroundings under "likes", versus crummy work environment under "dislikes". Most likely, the case will be items like challenge, recognition, freedom, chance to work independently, under the "likes", while the "dislikes" might include aspects such as uncooperative co-workers, unpleasant surroundings, overbearing supervisor, red-tape or a bureaucratic structure, and low pay. Discuss these differences--noting that there may be one group of things which cause job dissatisfaction while a different group of things lead to job satisfaction, Herzberg's theory of maintenance versus the motivation factors.

4. Have the class rank the ten aspects of their job (see questionnaire in Instructional Resources) and compare their listing to textbook, page 64. Discuss similarities and differences.

5. Present Maslow's Hierarchy of needs--compare to the different categories used by Herzberg to distinguish job satisfiers from dissatisfiers. See if students agree with his theory.

6. Have learners recount experiences of encouragement which they found motivating.

7. Have learners describe (on paper) a person they have encountered with a motivation problem. Then, group learners in three's or four's and have them describe their problem statements to each other, drawing on all suggestions for removing the motivation problem, or at least helping it. (Or, use examples of motivation problems as listed in Instructional Resources.)

8. Conclude with a composite list of all the ways in which managers are able to provide motivational encouragement (including as much positive feedback and praise as possible without being false or exaggerating).

Learner Activity:

1. Participate in discussion and provide examples or information as requested.

Learner Activity, continued

2. Interact with group exercises, especially in the motivation problem-solving session in both presenting a motivational problem and in listening and thoughfully providing ideas for others.

3. Take Mini-Review as found in student manual, having completed reading assignments as directed by Instructor. Complete examination portion for Lesson Two when instructed to do so.

INSTRUCTIONAL RESOURCES

Selected:

A. The following page contains a reprint of Page 64 in the textbook, Supervision: Concepts and Practices of Management, on the "The Rating Game". You may want to duplicate this questionnaire and have class members complete it prior to a discussion on motivation, to see how they compare to those listed in the textbook.

TEN JOB CONDITIONS RATED

In the first column, please rank the ten factors in terms of importance to you as workers. Then, in the second column, rank the same factors the way you think your employees would rank them. (1 is the most important, 10 is the least important.)

Full appreciation of work done	________	________
Feeling "in" on things	________	________
Sympathetic help on personal problems	________	________
Job security	________	________
Good wages	________	________
Work that keeps you interested	________	________
Promotion and growth in company	________	________
Personal loyalty to workers	________	________
Good working conditions	________	________
Tactful disciplining	________	________

INSTRUCTIONAL RESOURCES

Selected:

B. The following is an excerpt from Robert Townsend's Book, Up the Organization, Greenwich, Conn, Fawcett Publications, Inc., 1970, pp. 119-123, which explains more of Douglas McGregor's Theory X and Theory Y model.

PEOPLE

There's nothing fundamentally wrong with our country except that the leaders of all our major organizations are operating on the wrong assumptions.* We're in this mess because for the last two hundred years we've been using the Catholic Church and Caesar's legions as our patterns for creating organizations. And until the last forty or fifty years it made sense. The average churchgoer, soldier, and factory worker was uneducated and dependent on orders from above. And authority carried considerable weight because disobedience brought the death penalty or its equivalent.†

From the behavior of people in these early industrial organizations we arrived at the following assumptions,† on which all modern organizations are still operating:

1. People hate work.
2. They have to be driven and threatened with punishment to get them to work toward organizational objectives.
3. They like security, aren't ambitious, want to be told what to do, dislike responsibility.

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* By all the evidence, the other industrialized countries are as bad off, but no worse; their major institutions are operated on the same silly assumptions.

† Dismissal and blacklisting brought starvation to an industrial worker; excommunication brought the spiritual equivalent of death to a churchgoer.

† Douglas McGregor (see Bibliography) called these three assumptions "Theory X." Organizations that run on these premises--the hierarchies--are Theory X outfits.

You don't think we are operating on these assumptions? Consider:

1. Office hours nine to five for everybody except the fattest cats at the top. Just a giant cheap time clock. (Are we buying brains or hours?)
2. Unilateral promotions. For more money and a bigger title I'm expected to jump at the chance of moving my family to New York City. I run away from the friends and a life style in Denver that have made me and my family happy and effective. (Organization comes first; individuals must sacrifice themselves to its demands.)
3. Hundreds of millions of dollars are spent annually "communicating" with employees. The message always boils down to: "Work hard, obey orders. We'll take care of you." (That message is obsolete by fifty years and wasn't very promising then.)

Back off a minute. Let's pretend we know everything man knows about human nature and its present condition here, but nothing about man's organizations and the assumptions on which they're based. These things* we know about man:

1. He's a wanting animal.
2. His behavior is determined by unsatisfied needs that he wants to satisfy.
3. His needs form a value hierarchy that is internal, not external:
   (a) body (I can't breathe.)
   (b) safety (How can I protect myself from...?)
   (c) social (I want to belong.)
   (d) ego (1. Gee, I'm terriffic. 2. Aren't I? Yes.)
   (e) development (Gee, I'm better than I was last year.)

Man is totally motivated by each level of need in order--until that level is satisfied. If he hasn't slept in three days he's totally motivated by a need for sleep. After he has slept, eaten, drunk, is safe, and has acceptance in a group, he is no longer motivated by those three levels of needs. (McGregor's examples: The only time you think of air is when you are deprived of it; man lives by bread alone when there is no bread.)

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* McGregor again.

We know that these first three need levels are pretty well satisfied† in America's work force today. So we would expect man's organizations to be designed to feed the ego and development needs. But there's the whole problem. The result of our outmoded organizations is that we're still acting as if people were uneducated peasants. Much of the work done today would be more suitable for young children or mental defectives.

And look at the rewards we're offering our people today: higher wages, medical benefits, vacations, pensions, profit sharing, bowling and baseball teams. *Not one can be enjoyed on the job.* You've got to leave work, get sick, or retire first. No wonder people aren't having fun on the job.

So what are the valid assumptions for present-day circumstances? McGregory called them "Theory Y":

1. People don't hate work. It's as natural as rest or play.
2. They don't have to be forced or threatened. If they commit themselves to mutual objectives, they'll drive themselves more effectively than you can drive them.
3. But they'll commit themselves only to the extent they can see ways of satisfying their ego and development needs (remember the others are pretty well satisfied and are no longer prime drives).

All you have to do is look around you to see that modern organizations are only getting people to use about 20 per cent--the lower fifth--of their capacities. And the painful part is that God didn't design the human animal to function at 20 per cent. At that pace it develops enough malfunctions to cause a permanent shortage of psychoanalysts and hospital beds.

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† This book does not come to grips with the problem of America's 20 million poor: it deals with the 80 million psychiatric cases who do have jobs.

Since 1952 I've been stumbling around building and running primitive "Theory Y" departments, divisions, and finally one whole "Theory Y" company: Avis.

In 1962 after thirteen years Avis had never made a profit.* Three years later the company had grown internally (not by acquisitions) from $ 30 million sales to $ 75 million sales, and had made successive annual profits of $1 million, $3 million, and $5 million. If I had anything to do with this, I ascribe it all to my application of Theory Y. And a faltering, stumbling, groping, mistake-ridden application it was.

You want proof? I can't give it to you. But let me tell you a story. When I became head of Avis I was assured that no one at headquarters was any good, and that my first job was to start recruiting a whole new team. Three years later, Hal Geneen, the President of ITT (which had just acquired Avis), after meeting everybody and listening to them in action for a day, said, "I've never seen such depth of management; why I've already spotted three chief executive officers!" You guessed it. Same people. I'd brought in only two new people, a lawyer and an accountant.

By Robert Townsend

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* Except one year when they jiggled their depreciation rates.

INSTRUCTIONAL RESOURCES

Selected:

C. The following is from a presentation in the Spring of 1976, at the Metro Waste Commission in-house seminars, St. Paul, MN.

"THE SUPERVISOR"

The supervisor is the key figure in organizational programs. Not only is he the direct link between top management and the work force, but on his shoulders rests the responsibility for quality job training, development of good safety attitudes and detection of unsafe conditions and practices.

The supervisor's task is to ensure the production of goods and services. Unless he can get his men and women to work harmoniously, safely and efficiently, production will suffer. To run a productive department, the supervisor must know the needs of his people and what they respond to.

The supervisor should recognize his employees as people that he knows and who know him--as individuals and not as machine cogs. The supervisor may be a technical genius or an organizational giant, but unless he knows how to get along with people, he can also be a real failure in his job. The supervisor who wants to improve his ability to deal with his workers must first realize that dealing with employees is different than dealing with friends. A supervisor has authority over his men and this rules out the equal "give and take" of personal friendship. For this reason, he must understand the worker's reactions to him as supervisor, as well as to him as a person. Being a supervisor requires common sense, understanding and knowledge.

Not only does a company and its supervisors expect certain things of its employees, but the employees also expect certain things of their company and their supervisor--they want to know that their job has value, and that it is essential. They want to know that their efforts are appreciated. They want to feel secure in their jobs. They want to belong to their work group. Let us dwell further on the above four basic rules.

I. KNOWING THAT WORK HAS VALUE

All people want to know that their job has value--that it is essential. They are more likely to have that feeling if they know where their job fits into the total pattern of the company. Often the job is so small a part of the whole production pattern that it is hard to see where it fits in.

The supervisor can help by explaining the company's overall objectives and by showing his people where their jobs are valuable to the company. A supervisor might think that an employee would realize that the job he does has value, but this is not always true. When an employee does the same thing over and over again, his senses become dulled and he develops a feeling that his efforts are swallowed up in the vast quantities of similar work turned out by others. The supervisor, in these cases, can act as the source of information and reliability that will help his employees have a clear picture of the whole production effort.

II. KNOWING THAT WORK IS APPRECIATED

People want to know their efforts are appreciated. To belittle a man's work is to belittle the man himself. Praise works in the opposite way. The supervisor should give credit when it is due--but with caution. Giving a man a slap on the back and saying "well done" only means something if it is done sincerely and is not just a mechanical gesture. Praise must be only for good work. Praise for work that the employee knows is poor will not only make the supervisor look foolish, but will also reduce the value of future praise, even when it is justified.

A beginner's work may not be up to the standards of an "old timer's" work, but the beginner can be encouraged by telling him that he is making progress (providing that it is so). He should also be given further instruction to help him produce acceptable work. Although the experienced worker generally knows when his work is good, he will be pleased to know that his boss knows it too. Perhaps the best general rule is for the supervisor to maintain a positive interest in the workers of his department. If he takes such an interest, he will know the job each worker does, praise those who do well and encourage those who are still learning.

A supervisor knows his own reactions when he is roughly handled by his own supervisor. Often it makes little difference whether it is his decision or his general competence that is questioned. Justified or not, criticism is a threat to his self-respect. A worker feels the same way. Using explanation and encouragement has been found to be more effective than laying down the law and demanding conformity.

III. HAVING A SENSE OF SECURITY

People want to feel secure in their jobs. Some think this means that people want good pay and steady work--they do! But, they also want to know what is going on and what to expect in the future. People have a right to know what they are expected to do and how to do it safely and efficiently. Supervisors are responsible, therefore, to see that their workers are thoroughly trained in their assignments. This is essential to safe, efficient work and contributes to the worker's feeling of security. Whether the supervisor does the training himself or assigns another to do it, the ultimate responsibility is his.

IV. BELONGING TO THE WORK GROUP

People want to belong to their work group. The good supervisor will do his best to maintain a feeling of group solidarity and friendliness. He can watch for opportunities to talk with his group and in talking to them, assess group interest. Using words such as "we", "our department" and "our production record", encourages group participation. By briefing his men on work loads and planned changes, the supervisor promotes safety, hikes production, cuts down on waste and ups morale. One thing the supervisor should not do, if he wants to preserve a healthy group feeling, is to tell his people "you guys have got to..." or "now listen, I want you guys to..." The supervisor needs to be an accepted number of the group and can soon exclude himself by such an attitude. The supervisor must appeal to the self-interest of the group. When he encourages each member to follow a course of action or a pattern of conduct, he must make sure that such action or conduct is for the member's and the group's own good.

Supervisors are leaders and their big job is to provide leadership. Leadership works best when it enlists the cooperation of those who are being lead.

The successful leader shares his decision-making problems with his employees. Where appropriate, he lets them help plan the details of their work and the way it should be done. The supervisor gains much by having the intelligent cooperation of his workers. When a group works with their supervisor instead of for him, they cooperate.

INSTRUCTIONAL RESOURCES:

Selected:

D. The following page contains a reprint regarding employee motivation. The article compares various types of organizational structures, contrasting thin and flat organizations. A thin organization structure has many levels of management, with few employees under any one level of supervision. On the other hand, a flat organizational structure has few levels of management, but a far larger number of employees to be supervised.

PAGE 74 DELETED DUE TO COPYRIGHT RESTRICTIONS

INSTRUCTIONAL RESOURCES

Selected:

E. The Case of the Attitude Survey is a sample case to be used in the discussion of motivation and attitudes.

THE CASE OF THE ATTITUDE SURVEY

"Steve," said the City Personnel Manager to the Superintendent of the Wastewater Treatment Plant, "Do you remember the last survey of city employees attitudes? We finally received the results of the survey and it shows that your treatment plant is on the bottom of the list again. Last year's survey showed the same trend, but you felt that the survey was completely wrong. Or at least influenced by a sorehead or two. But now for the last five years, you've still been the low man on the totem pole."

Steve said nothing, but glared angrily at the survey results. Sure enough, the report bore out the personnel manager's words. Employees at the treatment plant were far below the average of the other city employees in their reaction to job demands, supervisory-employee relationships, adequacy of communications, status and recognition. On the other hand, the report stated that their attitude toward their working conditions and pay was as good as the rest of the city's employees.

"You see, Steve," continued the City Personnel Manager, "your employees don't complain about their pay or about working conditions. How do you explain that?"

"That's easy," said Steve, "Pay is all these sludgeheads are interested in. And why shouldn't they like their working conditions? The City put in the employee lounge and air conditioned the building last year. I'm only surprised they didn't find something else to complain about this year."

Steve went on, "I'll admit that I don't baby the men in the treatment plant. But why should I? They're not kids. They're well paid. All I expected from them is a fair day's work for a fair pay. Should I pin medals on a pipe fitter because he happens to make a water-tight joint once in a while?"

"If I didn't keep after these fellows, you'd find the plant falling apart at the seams. That's how I spend my days: checking, checking! You can't trust a working man these days to do anything right. Especially when the City treats them with kid gloves. It's no wonder to me that I don't win your popularity contest!"

INSTRUCTIONAL RESOURCES:

Selected:

F. Numerous training materials are being published today, which provide exercises and other activity suggestions in the area of management performance. One of the most widely-distributed sets of materials is that edited by Jones and Pfeiffer and published by University Associates. These materials are often available at university or college libraries, and are also found in many public libraries.

Suitable material and training activities have been selected from the offerings of the University Associates, and are listed here and in the future Modules, arranged by content within each session.

1. Managerial Grid--an analysis which allows the learner to evaluate the emphasis on production and people in his or her managerial style.

   J. William Pfeiffer, and John E. Jones, A Handbook of Structured Experiences for Human Relations Training, Volume I, Iowa City, IA, University Associates Press, 1969. (Exercise Number 3, pp. 7-12.)

2. The following articles are from annual editions of the John E. Jones and J. William Pfeiffer books from University Associates Publishers, La Jolla, California, with the specific year cited with each article.

   a. "Supervisory Attitudes: The X-Y Scale," 1972 Annual Handbook for Group Facilitators, pp. 65-68.

   b. "McGregor's Theory X/Theory Y Model," 1972 Annual Handbook for Group Facilitators, pp. 121-123.

   c. "The Maslow Need Hierarchy," 1972 Annual Handbook for Group Facilitators, pp. 125-126.

   d. "Job Enrichment," 1972 Annual Handbook for Group Facilitators, pp. 127-129.

INSTRUCTIONAL RESOURCES:

Selected:

G. On the following pages, you will find an example of a motivation problem, with an accompanying answer portion. You may substitute this motivation problem in a class where, due to the close working environment, discussion of current motivational problems facing the class members would be too difficult.

MOTIVATION PROBLEM

The meter service section consists of three men. They take care of all types of calls; leaking meters, stopped meters, no water, turn off and turn on for reparis, etc. They also make repairs on our ARB system (Automatic Reading and Billing).

When I took over, there were about four hundred service orders that had to be done. The number of service orders coming in each day outnumbered the jobs that the three men were doing. At this rate, we would always be playing catch-up, but never catching up.

MOTIVATION PROBLEM

- SOLUTION -

I. PROBLEM

The identification of the problem came from checking the files and service logs as described on previous page.

II. DEVELOPING A SOLUTION TO THE PROBLEM

A. The problem is one of low production.

B. The objective is to find a way to increase the number of jobs done per day. A fair day's work for a fair day's pay.

III. DEFINING THE POSSIBLE ALTERNATIVES AND CRITERIA

A. Hire more help for service.

B. Send a supervisor out with each serviceman.

C. Have a meeting with the service men to find out what types of problems they have, and what could be done to increase the number of service calls each day.

D. Let everything go as it is, maybe the service calls will diminish and we can catch up.

E. In terms of criteria, cost, service, public relations and job quality are all a factor.

IV. EVALUATE ALTERNATIVES

Alternatives A, B and D. would all be out of the question. The cost for all of these would be too great. Alternative C, work-group discussion, was the best alternative. The work-group discussion produced several interesting facts:

A. No system for job distribution.

B. Inadequate tools and supplies.

C. No way to secure trucks so tools and supplies could not be stolen or removed by someone other than the serviceman.

D. The work logs they had been using were inadequate.

E. Supply problem.

MOTIVATION PROBLEM

SOLUTION, Cont.

V. IMPLEMENTING RECOMMENDATION

A system was set up to distribute the work with each man covering a special type of service and overlapping into ARB repairs when more work was needed. The ARB repairs were set up to cover the city by square miles.

The service vans were made secure by having a heavy gage screen installed behind the driver and the locks re-keyed so that only the operator could open the rear doors of the van.

Each serviceman was issued all the tools they needed plus special tools and test equipment to do ARB repairs. A supply system was set up and each truck was issued all the material that was needed. When the servicemen needed more materials, it would be issued through an inventory control system allowing us to reorder long before the supply was exhausted.

A new daily work-log was designed. It had the date, the address, the work performed, special problems, the time on and off the job, and for the end of the day, total mileage. An extra man was placed into meter service for five weeks to help with the back-log repairs. It took three months before we were totally caught up. We are now doing other types of service work that we did not have the time to do before.

INSTRUCTIONAL RESOURCES:

Selected:

H. Future Reference Articles: The following list of articles appear in the Future Reference portion of Lesson Two, Section 2, in the student manual. This list has been included here for your additional information.

Abbett, James M. "Improving Workmanship and Reducing Costs," *Journal*, American Water Works Association, Vol. 63, No. 7, July 1971, pp. 393-395.

Batchelor, Robert B., "Safety for Water Utilities," *Journal*, American Water Works Association, Vol. 69, No. 9, September 1977, pp. 477-481.

Becker, Harry W., "Safety Beyond the Law," *Journal*, American Water Works Association, Vol. 65, No. 7, July 1973, pp. 461-463.

Binford, Charles W., "Motivating for Safety," *Journal*, American Water Works Association, Vol. 61, No. 2, February 1969, pp. 57-59.

Binney, Mel C., "Hidden Costs Finance Effective Safety Programs," *Journal*, American Water Works Association, Vol. 65, No. 7, July 1973, pp. 448-452.

Blake, Robert R. and Mouton, Jane S., *The Managerial Grid*, Houston: Gulf Publishing Company, 1964.

Haas, Gerald P. "Guess Who's Coming to Inspect?" *Journal*, American Water Works Association, Vol. 69, No. 6, June 1977, pp. 312-313.

Hogsett, Ordie L., "Toward Proper Safety Attitudes," *Journal*, American Water Works Association, Vol. 65, No. 7, July 1973, pp. 472-473.

Husten, Howard G., "Meeting Modern Safety Standards," *Journal*, American Water Works Association, Vol. 65, No. 7, July, 1973, pp . 453-460.

Jacobs, Harold C., "Accident Prevention and OSHA," *Journal*, American Water Works Association, Vol. 65, No. 7, July 1973, pp. 468-471.

Townsend, Robert. *Up the Organization: How to Stop the Corporation from Stifling People and Strangling Profits*, Greenwich, Conn., Fawcett Publications, 1970.

METHOD OF EVALUATION

The written test, which follows Section 2 of Lesson Two, pertains to all material in Lesson Two. First, a copy of the test portion as it appears in the student manual is included here. Second, answer keys are provided for the Objective Portion, and guidelines are included for the Subjective Portion of this second test.

COPY OF TEST FROM STUDENT MANUAL

Lesson Two
Objective Test
Keep this page in your book

OBJECTIVE TEST: LESSON TWO

(Place answers on the sheet provided preceding questions)

Here is the second test to be sent in. You are to complete this test as you did the first test. There is a subjective portion for this test as well, which presents a problem-solving situation. This covers both Section 1 and Section 2.

1. A decentralized organization, in terms of delegation, is one where:
   a. delegation extends from the highest to the lowest managerial level.
   b. as little delegation as possible has taken place.
   c. delegation is prevalent on the upper levels but is not evident on the lower levels.
   d. the work of the organization takes place in at least two buildings so there is no one central place.

2. A manager's authority comes:
   a. with the job
   b. with the person
   c. from age, dignity and experience
   d. only when the manager applies disciplinary measures

3. Closely supervised employees are generally:
   a. more highly motivated because their tasks are so closely watched.
   b. often less motivated because their initiative has been somewhat removed.
   c. less likely to be dissatisfied with their job because fewer mistakes get made.
   d. the only way a manager is able to keep control over the operations which are his/her responsibility.

4. The managerial approach which is very autocratic and authoritarian is:
   a. Theory X
   b. Theory Y
   c. Theory Z
   d. Maslow's Theory

5. Recognition for work well done is a prime example of a maintenance, not a motivation factor.
   a. True
   b. False

COPY OF TEST FROM STUDENT MANUAL

Lesson Two
Objective Test
Keep this page in your book

6. The step in training where YOU do the showing is termed the ____________ step.

   a. detailed explanation
   b. demonstration
   c. discussion
   d. drill

7. Delegation of authority means:

   a. granting enough power to subordinates so that they may perform within certain limits.
   b. delegating tasks which require the employee to carry a managerial title.
   c. giving employees tasks which require managerial skill but not technical skill.
   d. giving employees the power to take disciplinary actions over their co-workers.

8. Blake and Mouton have developed a managerial grid which illustrates two managerial concerns, ______________________ and ______________________.

   a. people and poverty
   b. production and profits
   c. people and production
   d. profits and poverty

9. Motivational factors are based on the prime human needs of body and security, not the needs of belonging, self-esteem and self-development.

   a. True
   b. False

10. The psychologist who developed the concept of a hierarchy of the five human need areas is:

   a. B. F. Skinner
   b. A. H. Maslow
   c. Fred Herzberg
   d. Doug McGregor

11. The behavioral study area which concentrates on the individual effects of one's experiences in the earliest years of life is termed:

   a. cultural values
   b. environmental impact
   c. childhood determinism
   d. physiological factors

COPY OF TEST FROM STUDENT MANUAL

Lesson Two
Objective Test
Keep this part in your book

12. The manager would consider delegating a task which he or she enjoys but which could also be adequately done by a subordinate.

    a. True
    b. False

13. Participative management means that:

    a. the manager makes no decisions in the final outcome.
    b. workers have the opportunity to express their opinions and the manager uses their insight to aid decision-making.
    c. workers provide service but their opinions are of no importance.
    d. the manager chooses the workers who will participate in the managerial aspects of the job.

14. The appropriate image of a supervisor is that of the manager working right alongside the subordinates on the same task.

    a. True
    b. False

15. Under the "Steps to Better Delegation", the manager should pay attention to which of the following aspects?

    a. the tasks and the people
    b. the tasks
    c. the tasks, people, and delegation
    d. the tasks, people, delegation and timetable for completion

This is the end of the Objective Test. Go right on to the Subjective Portion.

NAME ______________________________

Lesson Two
Subjective Portion
To Be Sent In

SUBJECTIVE PORTION, PART I.

Part I. Motivation Problem

Wilbur has uncovered several indications which seem to suggest low employee morale and motivation at the River City Utility. You are to examine the situation and provide some suggestions for helping to solve the problem of low motivation. Complete this Part I as follows:

A. List these indications (as many as you are able to find).

B. Provide Wilbur with a list of suggestions to use in overcoming the low morale or motivation there, based on the indications you have listed.

Use the remainder of this sheet and add additional pages if needed.

COPY OF TEST FROM STUDENT MANUAL

NAME ______________________________

Lesson Two
Subjective Portion
To Be Sent In

SUBJECTIVE PORTION, PART II.

Part II. Delegation Problem

Wilbur has a problem in teaching John Whipple to delegate authority. Read over the Case again in Section 1. Describe and solve Wilbur's delegation problem according to the following steps. *Use this sheet (front and back) and add additional sheets as needed.*

A. Describe Wilbur's Problem with Whipple.

B. Solve this problem through the following steps:

1. List all the alternatives which could be used in clearing up this problem of delegation in the utility system.

2. Analyze and evaluate each alternative as to its desirability. (Be sure to include possible positive and negative consequences).

3. Describe your recommendations. (These may center around one or more of the above alternatives).

OBJECTIVE TEST: LESSON TWO

Master Answer Sheet

1. A decentralized organization, in terms of delegation, is one where:

    a. delegation extends from the highest to the lowest managerial level
    b. as little delegation as possible has taken place
    c. delegation is prevalent on the upper levels but is not evident on the lower levels
    d. the work of the organization takes place in at least two buildings so there is no one central place

(The answer is A, "delegation extends from the highest to the lowest managerial level". See text, page 43.)

2. A manager's authority comes:

    a. with the job
    b. with the person
    c. from age, dignity and experience
    d. only when the manager applies disciplinary measures

(The answer is A, "with the position". See text, page 35.)

3. Closely supervised employees are generally:

    a. more highly motivated because their tasks are so closely watched
    b. often less motivated because their initiative has been somewhat removed
    c. less likely to be dissatisfied with their job because fewer mistakes get made
    d. the only way a manager is able to keep control over the operations which are his/her responsibility

(The answer is B, "often less motivated because their initiative has been somewhat removed". See text, page 47-48.)

4. The managerial approach which is very autocratic and authoritarian is:

    a. Theory X
    b. Theory Y
    c. Theory Z
    d. Maslow's Theory

(The answer is A, "Theory X". See text, page 59-60.)

5. Recognition for work well done is a prime example of a maintenance, not a motivation factor.

   a. True
   b. False

(The answer is B, "False". See manual, page 124-129. It is a motivational aspect.)

6. The step in training where YOU do the showing is termed the ______ step.

   a. detailed explanation
   b. demonstration
   c. discussion
   d. drill

(The answer is B, "demonstration", See Manual, pg. 94-95, under training portion.)

7. Delegation of authority means:

   a. granting enough power to subordinates so that they may perform within certain limits
   b. delegating tasks which require the employee to carry a managerial title
   c. giving employees tasks which require managerial skill but not technical skill
   d. giving employees the power to take disciplinary actions over their co-workers

(The answer is A, "granting enough power to subordinates so that they may perform within certain limits. See text, page 38.)

8. Blake and Mouton have developed a managerial grid which illustrates two managerial concerns, _________ and _________.

   a. people and poverty
   b. production and profits
   c. people and production
   d. profits and poverty

(The answer is C, "people and production". See text, page 61.)

9. Motivational factors are based on the prime human needs of body and security, not the needs of belonging, self-esteem and self-development.

   a. True
   b. False

(The answer is B, "False". See manual, page 124 under motivation.)

10. The psychologist who developed the concept of hierarchy of the 5 human needs areas is:

    a. B. F. Skinner
    b. A. H. Maslow
    c. Fred Herzburg
    d. Doug McGregor

(The answer is B, "A. H. Maslow". See text, page 55.)

11. The behavioral study area which concentrates on the individual effects of one's experiences in the earliest years of life is termed:

    a. cultural values
    b. environmental impact
    c. childhood determinism
    d. physiological factors

(The answer is C, "childhood determinism". See text, page 54.)

12. The manager should consider delegating a task which he or she enjoys but which could also be adequately done by a subordinate.

    a. True
    b. False

(The answer is A, "True". See manual, page 101)

13. Participative management means that:

    a. the manager makes no decisions in the final outcome
    b. workers have the opportunity to express their opinions and the manager uses their insight to aid decision-making
    c. workers provide service but their opinions are of no importance.
    d. the manager chooses the workers who will participate in the managerial aspects of the job

(The answer is B, "workers have the opportunity to express their opinions and the manager uses their insight to aid decision-making". See text, page 65.)

14. The appropriate image of a supervisor is that of the manager working right alongside the subordinates on the same task.

    a. True
    b. False

(The answer is B, "False". See text, page 45. This image of the supervisor is not that of a MANAGER but that of a fellow-worker. A good supervisor if one who has coordinated the subordinates so that the work is able to be done, usually without the help of the supervisor.)

15. Under the "Steps to Better Delegation", the manager should pay attention to which of the following aspects?

    a. the tasks and the people
    b. the tasks
    c. the tasks, people, and delegation
    d. the tasks, people, delegation and timetable for completion

(The answer is D, "the job, people, delegation and timetable of completion". See manual, page 101-102.)

SUBJECTIVE PORTION, PART I.

A sample case was given in which Wilbur uncovered several indications at the River City Utility which seemed to suggest low employee morale and motivation. In Question A, learners were asked to list as many of these indications as possible. In Question B, learners were asked to provide suggestions for Wilbur to use in overcoming the low morale and motivation there, based on the indications listed in Question A.

A. Indications

1. Late arrivals by afternoon shift. (Exhibit #2; pg. 27)
2. Backlog of memos on Herb's desk.
3. Increase in absenteeism. (Exhibit #9; pg. 341)
4. Request for overtime pay. (Exhibit #12 and #13; pgs. 37, 38)
5. Hal Jones sickness and lack of performance. (Exhibit #8; pg. 33)
6. Lack of concern over supplies in inventory control. (Exhibit #15; pg. 40)
7. Lack of delegation by Whipple. (Exhibit #14; pg. 39)
8. Lack of concern for safety.
9. General poor communications.

B. Suggestions using above Indications

1. Indication #1, Late arrivals by afternoon shift:

   Meet with the afternoon shift operators to discuss the problem of late arrival. Determine the reason for the lateness. Indicate that you are open to suggestions that would help them such as: a change in shift starting time, etc. Also, point out to the operators that they are taking advantage of the morning shift and that continued late arrival will result in disciplinary action.

2. Indication #2, Backlog of memos on Herb's desk:

   The backlog of memos indicates a general lack of management leadership and employee motivation. A meeting of the supervisory and management staff should be held to discuss the general problem and to open the communications between top management and first-line supervisors. Supervisors should also be encouraged to meet with their subordinates to improve communications and motivation.

3. Indication #3, Increase in absenteeism:

   The increase in absenteeism is an indication of low morale and motivation. The general meeting should generate suggestions to determine the reasons. Several suggestions to improve the general level of morale and motivation are as follows:

   a. Recognize individual contributions at work or in the community.

   b. Encourage supervisors to participate in a management seminar.

   c. Establish incentive systems.

   d. More regular meetings between management/supervision and staff.

4. Indication #4, Request for overtime pay:

   The overtime pay request probably is a result of poor supervisory practices. The requirement for overtime could be eliminated by staggering the lunch hours. If the operators received proper recognition for their work, they probably would not have asked for the overtime in the first place.

5. Indication #5, Hal Jones' sickness and lack of performance:

   The burden caused by Hal's inability to perform his job could continue to add to the morale problem. Management must review Hal's medical records and have him obtain a medical examination. If Hal's condition does prevent him from performing effectively, his job should be redefined. On the other hand, he should be required to perform the job if the medical review indicates his health should not limit performance on the job.

6. Indication #6, Lack of concern over inventory control:

   Management must communicate to all employees the importance of supplies control and equipment maintenance. This is especially critical with the need for meeting effluent and safety standards at the lowest possible costs. Perhaps an incentive or suggestion system would encourage employees to continuously consider new ideas and approaches to improve material planning and control.

7. Indication #7, Lack of delegation by Whipple:

   Lack of delegation is a major factor for low morale and lack of motivation. Whipple probably will not change without strong encouragement by management and special supervisory training. After these efforts, if he still does not delegate, management must take action such as reassignment, extended leave, etc. to convince him of the importance of delegation. It should be pointed out to him that by delegating work to his subordinates he will have time to take on additional responsibilities and thus receive more recognition and, hopefully, greater benefits.

8. Indication #8, Lack of concern for safety:

   There seems to be a general lack of concern for safety. Management must take a personal interest in improving the safety program. AWWA has a safety audit to evaluate the safety performance of utilities. The audit also suggests methods to improve the safety program. Incentives, suggestions, more frequent discussions between management, supervision and employees will improve safety and improve morale.

9. Indication #9, General poor communications:

   Inadequate communications is a big factor in low morale and lack of motivation in any organization. River City is no exception. Management must open communications by more meetings with all levels of staff, incentive and suggestion programs, utility newspaper, management being available to sincerely discuss individual problems, etc. Improved and continued communications is the first step to increasing morale and motivation.

SUBJECTIVE PORTION, PART II.

Descriptions will vary with individual students, but responses should include the following aspects in response to Question A:

a. Whipple did not utilize adequate training measures so that his subordinates were able to perform certain tasks;

b. Whipple saw a lack of overtime or extra work as an indication of inadequate work;

c. Whipple did not provide adequate feedback, including praise and knowledge of results, to his subordinates so they were not aware of the progress of their work;

d. Whipple did not delegate enough of the work so that he was overworked;

e. Whipple operated under the assumption that the younger workers did not care about their jobs, and consequently, would not or could not perform as he had in former years.

Using the delegation problem described above in Question A, learners were asked to do three things in Question B. Learners were asked to: 1) list all alternatives which would help to clear up the above delegation problem; 2) analyze each alternative as to its desirability; and, 3) describe recommendations which will vary among individual students.

1. Alternatives

    1. Fire John Whipple.

    2. Reassign John Whipple.

    3. Require that John Whipple attend a supervisory training program.

    4. Meet with John Whipple to discuss his failure to delegate and suggestions for improvement.

2. Analysis of Alternatives

    1. Alternative 1, Fire John Whipple:

       Termination should be a last resort. Whipple is a valuable and dedicated employee. Termination might be necessary if he refuses to delegate and also to take a reassignment.

2. Alternative 2, Reassign John Whipple:

   Reassignment should be considered only if Whipple refuses or is unable to effectively delegate. His new assignment should be in a non-supervisory, technical advisory position. Other alternatives should be explored before reassignment.

3. Alternative 3, Require that Whipple attend a supervisory training program:

   Whipple should be required to attend a supervisory training course, preferably away from the plant. He should be required to define the work that his subordinates are to accomplish while he is absent Management should inform Whipple that his responsibilities could be enlarged if he demonstrates that he can effectively train and delegate work to his subordinates. This alternative should be the second step to help Whipple.

4. Alternative 4, Meet with Whipple to discuss his failure to delegate and make suggestions for improvement:

   The first step to improve the situation should be a meeting between Wilbur and Whipple to discuss the problem. Wilber should point out that delegation is necessary to help Whipple enlarge his area of responsibility, and to motivate and train the new employees. Wilbur should suggest methods to help Whipple implement a program to delegate work. He should also discuss with Whipple some new activities/ work areas that he wants Whipple to be responsible for after he demonstrates he can reduce his work-load through delegation to his subordinates. Alternative 3 should also be implemented to help Whipple.

3. Description of Recommendations

This third part of Question B will vary among individual students.

MODULE THREE

THE SUPERVISOR'S NEED FOR PROBLEM SOLVING AND COMMUNICATION SKILLS

Session 1: Problem Solving and Decision Making

Assigned Text Reading: Chapter 5

Session 2: The Communicating Manager

Assigned Text Reading: Chapter 6

PERFORMANCE-ORIENTED WORKSHEET
MODULE THREE, SESSION ONE

CURRICULUM: Water Quality Control Program

COURSE: Supervisory Management in the Water/Wastewater Field

SUBJECT MATTER: Managerial Principles

MODULE THREE: The Supervisor's Need for Problem Solving and Communication Skills

Session One of Two: Problem Solving and Decision Making

Estimated Time for this Session: Three classroom hours

Prerequisites for this Session: Familiarity with Lesson Three, Section 1, of student manual

PERFORMANCE OBJECTIVE: (3 Parts)

ACTION/TERMINAL BEHAVIOR: The learner will identify the steps utilized in systematic problem solving, as presented in the student manual. The learner will describe the use which may be made of an audit in judging work performance, and will apply such an audit to a specific job situation.

CONDITIONS: The learner will be given a series of questions which act as an audit for a specific job situation.

ACCEPTABLE PERFORMANCE: The learner will identify the five steps (in one sentence or phrase each) utilized in systematic problem solving as presented in the student manual. The learner will apply, through selection of the most accurate response for the particular job situation being considered, a management audit. The learner will respond in accordance with the job situation to a series of questions which require the learner to analyze the managerial aspects of a certain job. (In this case, there is no right or wrong response since the audit provides the learner with a mirror of managerial performance.)

JUSTIFICATION OF OBJECTIVE: The learner will be a more effective manager if problems are able to be analyzed in depth and decisions reached which provide the manager with the best alternative among those available.

INSTRUCTIONAL ACTIVITIES:

Instructor Activity:

1. Preparation includes familiarity with the content of Chapter 5 in the text book and the first section of Lesson Three in the student manual.

2. Discuss, with the class, mistakes which occur in problem-solving.

3. Present five-step approach to problem solving, going over the aspects contained in each step.

4. Work through the five steps using an example.

5. Give students a problem (divide students into small groups of three or four if class is large enough) and have them work through problem according to the five steps.

6. Summarize, stressing the necessity for thoroughly going over the five steps. You may use the questionnaire in the student manual (pages 173-174) as a review here.

Learner Activity:

1. Provide 'mistakes' which problem-solvers often make, when requested by instructor.

2. Work through problem-solving situation as instructed.

3. Take Mini-Review Quiz as found in the student manual. Also, do problem-solving questionnaire (pages 173-174) individually, or as instructed. Complete the reading of assigned materials.

INSTRUCTIONAL RESOURCES

Selected:

A. On the following pages, you will find two problem situations with accompanying solutions--arranged in the five-step solution format. One relates to a problem in Motivation, and the other refers to a problem in Communication.

EMPLOYEE MOTIVATION PROBLEM

Two water treatment operators have developed a sub-standard work performance during the past six months. The reasons presented are as follows:

a. Their work areas are frequently found in an unclean condition.

b. They were responsible for a major power failure in the treatment plant.

c. They have developed a recent habit of coming late to work.

The identification of this problem is related to Lesson Two of this course, where it was explained that high motivation is one of the desirable qualities of a supervisor.

EMPLOYEE MOTIVATION PROBLEM

- SOLUTION -

I. PROBLEM as stated on the previous stage.

II. MANAGEMENT ASSUMPTIONS

Subsequent private interviews with the two operators revealed that they were highly frustrated about the elimination of the earlier incentive payment plan more than half a year ago. The plan elimination had been initiated by their supervisor as a means to affect cost reduction in his department. Furthermore, it was brought out that none of the operators had been selected to attend the annual short school this year. The latter is sponsored by the Operators Association and its attendance used to involve a week off work with pay. But what hurt the most was that their higher class certification--obtained a few months ago--did no longer mean anything to the administration. Finally, the two operators felt that the earlier efforts and work out-put was never recognized by their supervisor.

An additional check-up on the two operators' personnel records showed satisfactory work performance for their entire years of employment with this department.

A. Alternatives

As proper motivation of employees is an important factor to achieve better work out-put and good cooperation, a permanent solution to the problem will have to be sought. The alternatives are:

1. Terminate the employment of the two operators and hire qualified replacements.
2. Maintain status quo and let time work things out.
3. Reinstate incentive payment plan so that operators with improved certification will receive higher wages.
4. Arrange an annual picnic for all operators.

B. Criteria for Evaluation

1. Impact on operators' morale.
2. Cost involved if change is or is not made.

EMPLOYEE MOTIVATION PROBLEM

- SOLUTION -

III. & IV. Solution Development and Evaluation of Alternatives

Since lack of ability to motivate employees on the part of supervision appears to be indirectly responsible for the problem, it is doubtful whether the replacement of the two operators would yield a satisfactory solution. To take no action at all and simply depend on time as the "healing factor" would certainly make the present situation worse as the low attitude of the two operators may easily "infect" some of their colleagues. Also, the arrangement for an annual employees picnic will probably contribute little, if anything, to help motivate them. However, alternative three seems to offer the best soultion as its implementation will positively reinforce the self-esteem of operators in general and the two under discussion in particular. Furthermore, it is advisable to instruct supervision in proper employee motivation. The cost involved to implement alternative three may amount to three thousand dollars a year, but this sum may be balanced by minimizing the risks of gross mistakes in operations because of operators' sub-standard work performance.

V. Implementation - Course of Action

Reinstate incentive payment plan and annual selection of operators for short school attendance. In addition, instruct supervision in proper employee motivation.

COMMUNICATION PROBLEM

A water treatment plant has four road entrance gates; two are mainly used by the maintenance personnel, one is kept locked at all times, and the fourth gate is primarily used by the operators. Incidences of theft had been on the increase recently and reported to the respective supervisor of each department. In an effort to minimize such unwanted losses, the chief operator decided--being in charge of the entire plant--to change locks on three of the four gates and withhold the new key from maintenance personnel. Only the afternoon shift and night shift operator would have access to it as they had the responsibility of locking the gates at 5:00 p.m. and reopen same at 6:30 a.m. This way all traffic in and out of the plant could be more easily monitored by just checking the operators' gate to which all employees have a key.

The chief operator (supervisor) informed the head of maintenance about the replacements of gate locks expecting the latter would pass on the message to other maintenance personnel.

On the first morning after the new lock installation, the night shift operator found--to his surprise--one of the gates used by maintenance already open with the lock chain sawn in half. From then on, an attitude of unfriendliness began to prevail between the two departments and cooperation suffered.

COMMUNICATION PROBLEM

- SOLUTION -

I. PROBLEM

Problem and source already indicated on the previous page.

II. MANAGEMENT ASSUMPTIONS

It was subsequently discovered that the supervisor of maintenance failed to inform his subordinates about the new lock installations.

A. Alternatives

Since good cooperation between members of all departments is essential for maximum work out-put, a permanent solution is to be sought. The alternatives are:

1. Take no action and let time work things out.
2. Hold a meeting of both department members and have the maintenance supervisor openly admit to his error.

B. Criteria

The only criteria to be evaluated here are the impact on the employees' morale and the re-establishment of cooperation between both departments.

III. & IV. SOLUTION DEVELOPMENT AND EVALUATION OF ALTERNATIVES

Alternative two seems to be the only possibility as both departments are interdependent and necessitate good cooperation among each other. On the other hand, not to take any action at all could mean that the attitudes of both departments may drift further apart.

V. RECOMMENDATIONS

Arrange for an employees' meeting of both departments and have the maintenance supervisor explain his earlier error and, by the same token, emphasize that the recently implemented plant security measures were an absolute necessity benefitting both departments equally.

INSTRUCTIONAL RESOURCES

Selected:

B. Discussion on problem-solving based on lecture given at Metro Waste Commision Authority, Spring, 1977, St. Paul, MN.

"PROBLEM-SOLVING DISCUSSION"

A problem is a situation in which an individual, a group, or an organization is prevented from reaching a desired goal, objective or end.

A solution is the specific means of altering the situation to make the goal more attainable.

Problem-Solving Discussion is the exercise of interested persons confronting problematic situations as a group, mutually sharing in the responsibility to arrive at a practicable solution.

I. Formulation of the Problem

  A. Carefully word the problem in thorough but economic form. The terminology should be clear and definitions agreed upon.

  B. Specify the unattainable goals, the objectives which will not be realized unless the situation (problem) is correctly adjusted.

  C. The group should agree that the problem is significant enough to warrant detailed discussion.

II. Description of the Problem

  A. Agree on the boundaries of the problem; clarify and limit its scope. Exclude from consideration the sideline features of the situation which do not touch the core of the problem.

  B. Indicate the depth, seriousness and extent of the problem.

  C. Trace the history of the problem.

III. Analysis of the Problem

A. Probe into the possible causes of the problem.

B. Indicate the present effects of the problem and the consequences of failing to implement a feasible solution by a certain time.

IV. Approaches to Solving the Problem

A. Trace the ways the problem has been dealt with; catalogue the plans which have failed to greatly alter the situation.

B. Explore the present methods employed--directly or indirectly, officially or unofficially--to correct the problem.

C. Establish the criteria for plans to be set forth to solve the problem; the standards on which a judgment or final decision may be based.

D. Phrase a question which stems from a thorough grasp of the problem and the group's wholehearted acknowledgment of the seriousness of the problem: "What should be done about . . . (the exact expression of the problem)?"

V. Proposal of the Solutions

A. Solicit all possible solutions without pausing to discuss any one. Brainstorm!

B. Combine related proposals to avoid overlap.

C. Limit the solutions to the number which can be adequately discussed in a prescribed time span.

D. Refine the terminology of the solutions and record the exact wording.

E. Briefly discuss the nature of each solution, if it is not evident.

VI. Evaluation of the Solutions

A. Focus on the first possible solution.

1. Discuss the advantages of adopting the solution.
2. Discuss the disadvantages of adopting the solution.
3. Discuss the plan's (solution's) workability, practicability and feasibility: What would the plan be like in operation?

B. Focus on the second possible solution. (Same as above)

VII. Selection of the Better Solution

A. Review the specific criteria for a solution (established IV.C.)

B. Compare and weigh the accumulated advantages and disadvantages of each.

C. Reach a consensus on the better solution, or the solution which would be adopted and employed before other less corrective solutions.

D. If the group does not have decision-making authority, discuss the method of presenting the proposed solution to the right person.

VIII. Selection of the Method of Implementation

A. Anticipate the obstacles to be faced and discuss the ways they can be surmounted.

B. Agree on the better course to follow to make the plan operational.

C. Discuss the possible results of putting the plan into effect; benefits and harmful side effects.

D. Take the necessary action to implement the plan.

INSTRUCTIONAL RESOURCES

Selected:

C. Generating alternatives is often not an easy task. The combined ideas of several individuals in such a case is often better than the sum of ideas which would come from any one person in the group. Here are two suggestions for obtaining ideas from a group in problem-solving. Both come from the Annual Handbook for Group Facilitators, University Associates, John E. Jones and J. William Pfeiffer, Editors, La Jolla, California.

1. "Quaker Meeting," 1972, pp. 11-12.

2. "Energy International: A Problem-Solving Multiple Role Play," 1972, pp. 25-35.

INSTRUCTIONAL RESOURCES

Selected:

D. Future Reference Articles: The following is a list taken from the Future Reference Portion of Lesson Three, Section 1, in the student manual, Supervisory Management in the Water/Wastewater Field, Michigan State University, 1977. This list of articles has been included for your additional information.

Helferich, Omar Keith, "Management Systems: Total Utility Perspective," Journal, American Water Works Association, Vol. 63, No. 11, November 1973, pp. 670-676.

Kazmier, Leonard J., Principles of Management, McGraw Hill Book Company, New York, 1974, p. 98-102.

Lazarro, Victor, editor, Systems and Procedures: A Handbook for Business and Industry, Prentice-Hall, Inc., Englewood Cliffs, New Jersey, 1968, pp. 499-505.

METHOD OF EVALUATION

Written test, as located on pages 211-229 in student manual. However, the test is not to be completed until Session 2 of this module is finished.

PERFORMANCE ORIENTED WORKSHEET
MODULE THREE, SESSION TWO

CURRICULUM: Water Quality Control Program

COURSE: Supervisory Management in the Water/Wastewater Field

SUBJECT MATTER: Managerial Principles

MODULE THREE: The Supervisor's Need for Problem-Solving & Communication Skills

Session Two of Two: The Communication Manager

Estimated Time for this Session: Three Classroom hours

Prerequisites for this Session: Familiarity with content of Lesson Three, Section two, of student manual

PERFORMANCE OBJECTIVE: (3 Parts)

ACTIONAL/TERMINAL BEHAVIOR: The learner will identify barriers to communication and provide at least one suggestion for overcoming that barrier. The learner will describe feedback and identify its importance in communication.

CONDITIONS: The learner will be given specific situations in which communication techniques will be important to the correction of the situation.

ACCEPTABLE PERFORMANCE: The learner will identify two barriers to communication, in one or two sentences, and provide at least one suggestion for overcoming that barrier, also in one to three sentences each. The learner will identify 'feedback' in communication and its importance in communication, in one to three sentences.

JUSTIFICATION OF OBJECTIVE: The learner will require accurate communication to function as a manager. Further, the responsibilities of the manager, including delegation, motivation and problem-solving all require a high level of communication skills.

INSTRUCTIONAL ACTIVITIES

Instructor Activity:

1. Preparation includes familiarity with the content of Chapter 6 in the textbook and section two of the student manual.

2. Class discussion may be opened with one or more of the games included in the instructional resources section, especially recommended 'rumor clinic' and the two-part 'instructions' exercises.

3. Lead class in a discussion of the problems which occur in communication.

4. Go over the three ways of communication (verbal, nonverbal and symbolic). See Article: "Communication Modes: An Experimental Lecture" by John E. Jones as cited in Resources Section. Discuss how each of these ways help in communication.

5. Discuss feedback and its value.

6. Have class members do the communication audit (in the manual, pages 194-195).

7. Create a list of suggestions for improvement of communication (this may be done as a class or via small groups which compare their lists.

Learner Activity:

1. Contribute to class discussion as requested by Instructor.

2. Participate in exercises in demonstrations of feedback.

3. Provide suggestions for improving communication technique.

4. Take the mini-review as found in the student manual for Lesson Three, Section 2. Become familiar with all assigned reading material, as instructed. On instructions from the teacher, complete the examination for Lesson Three as presented in the text portion of the manual, unless instructed otherwise.

INSTRUCTIONAL RESOURCES

Selected:

A. Communication becomes distorted through a variety of causes or reasons. Two exercises to illustrate this in the classroom are listed below.

   1. "Telephone Operator." There are a number of variations of this message-distortion game.

      a. Have a message whispered around the room and compare the initial and final versions of the message.

      b. Repeat a message (fairly long or complex is often too difficult, even simple messages get scrambled) to an individual, with several volunteers out of hearing range. (The rest of the class can be in on the transaction.) One by one, call in the volunteers and have the message passed from one to another. Have the class noting the variations which occur with each repetition. Message ideas might be a detailed description of something recently purchased, such as a new car (lots of options) or a new home. Another idea might be an accident report, or a description of the new utility.

      c. Practice with variations on passing messages to determine means for overcoming mistakes--written as well as verbal--ability to ask questions or to have the message repeated.

   2. "One-way versus Two-way Communication." Divide the students into teams of two, with one person being the 'speaker' and one being the 'receiver'. There are two rounds. In the first round, the speaker describes a series of shapes which the receiver is to draw on a piece of paper. However, there is to be NO INTERACTION between the two, and the speaker is not allowed to see what is being drawn. The receiver, on the other hand, is NOT ALLOWED to ask questions but is just to draw the objects as best possible. After the drawing is completed, the results are compared to the original.

      In the second round, the roles are reversed and a different, but similar, drawing is used. This time, the receiver is allowed to ask questions, although the speaker is not permitted to see the drawing in progress. He is only allowed to see it when it is completed.

      At the conclusion, the discussion revolves around the differences in the results between the first and second round, and why the second pictures, on the whole, are more accurately a reflection of the drawing being used as a model.

INSTRUCTIONAL RESOURCES

Selected:

B. The following articles on communication are from University Associates Publishers, Inc., in the Annual Handbooks for Group Facilitators, John E. Jones and J. William Pfeiffer, Editors.

1. "Communication Modes: An Experiential Lecture," 1972, pp. 173-177.

2. "Conditions Which Hinder Effective Communication," 1972, pp. 173-177.

3. "Communication Patterns in Organization Structure," 1974, pp. 150-151.

4. "Don't You Think That...?": An Experiential Lecture on Indirect and Direct Communication," 1974, pp. 203-208.

5. "Five Components Contributing to Effective Interpersonal Communications," 1974, pp. 125-128.

6. "Interpersonal Communication Inventory," 1974, pp. 97-101.

INSTRUCTIONAL RESOURCES:

Selected:

C. Future Reference Articles: The following is a list taken from the Future Reference Portion of Lesson Three, Section 2, in the student manual, *Supervisory Management in the Water/Wastewater Field*, Michigan State University, 1977. This list of articles has been included for your additional information.

Caskey, Clark C., "The Functions of Management," *Journal*, American Water Works Association, Vol. 64, No. 6, June 1972, p. 366.

Corey, John B. W., "Motivating Employees," *Journal*, American Water Works Association, Vol. 65, No. 1, January 1973, p. 39.

Davis, Keith, *Human Behavior at Work*, fourth edition, McGraw-Hill Book Company, New York, 1972, p. 380.

Dowd, Thomas F. Jr., "Employee Attitude Surveys: A Key Management Tool," *Journal*, American Water Works Association, Vol. 65, No. 1, January 1973, p. 46.

McLeod, Robert J., "Communication--Key to Effective Labor Relations," *Journal*, American Water Works Association, Vol. 68, No. 9, September, 1976. pp. 453-455.

Tolle, William A., "Management-Information Systems," *Journal*, American Water Works Association, Vol. 63, No. 11, November 1971, p. 688.

METHOD OF EVALUATION

Written test, as located on pages 211-229 in the student manual, to be completed upon instruction.

Lesson Three
Objective Test
Keep this page in your book

OBJECTIVE TEST: LESSON THREE

(This covers Sections 1 and 2 of Lesson Three, and the Textbook Chapters 5 and 6. Place answers on the sheet provided preceeding questions)

1. In case of doubt, too much repetition is better than too little.

   a. True
   b. False

2. Getting the facts is part of which step in problem-solving?

   a. defining the problem
   b. analyzing the problem
   c. developing and evaluating the alternatives
   d. selecting the alternative

3. Another name for the informal communication channel is ____________.

   a. the organization chart
   b. the memo
   c. the grapevine
   d. the weekly staff meeting

4. The more technical the language, the more certain communication is to be accurate and understood.

   a. True
   b. False

5. A barrior to communication resulting from misunderstanding what actually is being communicated--unfortunately, this misunderstanding is often also unrecognized--results from ________________________.

   a. status and position
   b. resistance to change
   c. language breakdown
   d. employee indifference

6. There is no such thing as a riskless decision.

   a. True
   b. False

7. "Timing" should be considered under which phase in the problem-solving process?

   a. defining and analyzing the problem
   b. developing the alternatives
   c. evaluating the alternatives
   d. selecting the alternative

COPY OF TEST FROM STUDENT MANUAL

Lesson Three
Objective Test
Keep this page in your book

8. Feedback, as described in your manual, is evaluative, not just descriptive.

   a. True
   b. False

9. Communication (often inadequate) which involves the implementation of changes is often viewed with ____________________ on the part of employees.

   a. suspicion
   b. relief
   c. indifference
   d. disbelief

10. Consideration of the impact of an alternative upon individuals, personnel and the organization is part of which problem-solving step?

    a. first, definition of the problem
    b. second, analysis of the problem
    c. third, formulation of alternatives
    d. fourth, analysis of alternatives

11. Decision making affects the supervisor in several ways, not only in making decisions, but also in the training of subordinates to make decisions.

    a. True
    b. False

12. ____________________ prompts the formation of rumors when employees want something badly enough that they start "passing the word".

    a. uncertainty
    b. fear
    c. malicious destruction
    d. wishful thinking

13. One aspect of the communication barrier of status and position is that the supervisor and the subordinate are 'coming from' different parts of the organization--hence, their viewpoint is different.

    a. True
    b. False

14. One of the 'problems' as listed in the manual under 'problems in problem-solving' is that of failure to consider all of the adverse consequences which might result from a selected alternative.

    a. True
    b. False

COPY OF TEST FROM STUDENT MANUAL

Lesson Three
Objective Portion
Keep this page in your book

15. Taking no action at all is one alternative in many problem-solving situations and should be considered as such.

    a. True
    b. False

* * * * * * * *

This is the end of the Objective Test. NOW, go right on to the Subjective Portion...

NAME________________________________

Lesson Three
Subjective Portion
To Be Sent In

SUBJECTIVE PORTION, PART I.

Part I. Wilbur wants to make some changes at the River City Utility. As one of these changes, he wants to install a new type of sludge flow meter--one which will not need the attention of Ron or Gary, or even John Whipple. This seems like a simple, even desired change, but it is going to involve some different techniques. Help Wilbur implement this change WITHOUT a repeat of his prior disagreeable experience. What communication techniques should Wilbur use? Solve this situation for Wilbur, using the Management Systems Approach as it has been described in Section 1. The five steps in this approach are:

1. Define the problem and objectives
2. Summarize management assumptions
3. Develop solution approach via alternatives
4. Evaluate all alternatives
5. Recommend and implement course of action chosen

YOU MAY USE THE REST OF THIS SHEET AND ANY ADDITIONAL ONES AS NEEDED.

When you have completed Part I, go right on to Part II which is another portion of the Supervisory Management Audit...

COPY OF TEST FROM STUDENT MANUAL
NAME ______________________________

Lesson Three
Subjective Portion
To Be Sent In

SUBJECTIVE PORTION PART II.

SUPERVISORY MANAGEMENT AUDIT ANSWER SHEET

(Place your answers to the questions on the following pages on this sheet)

A. Objectives

	YES	NO	NOT APPROPRIATE
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			

B. Planning

	YES	NO	NOT APPROPRIATE
1. a			
b			
c			
d			
e			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			
11.			
12.			
13. a			
b			
c			
d			
e			
f			

	YES	NO	NOT APPROPRIATE
13.			
14.			
15.			
16.			
17.			
18.			
19.			
20.			
21.			
22.			
23.			
24. a			
b			
25.			

C. Organization

	YES	NO	NOT APPROPRIATE
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			
11.			
12.			
13.			
14.			
15.			
16.			

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Lesson Three
Subjective Portion
Do Not Send In

SUPERVISORY MANAGEMENT AUDIT
FOR
WATER/WASTEWATER TREATMENT FIELD

PREPARED BY

DR. OMAR KEITH HELFERICH

CONTENT CONSULTANT

INSTRUCTIONS: In this lesson, you will find the first portion of the management audit. The following lessons continue this audit.

To complete this audit, therefore, you go through and read each question. Then, on the answer sheet located ahead of these audit questions, you are to mark your response. BE HONEST--this audit is for your benefit.

A. Objectives

1. Does your group have defined objectives?
2. Have written objectives been prepared for the group?
3. Are the objectives distributed to all subordinates?
4. Do the subordinates understand all of the objectives?
5. Are the reasons ("why") for the objectives understood?
6. Are the objectives reviewed and updated at least twice per year?
7. Do subordinates participate in setting the objectives?
8. Can you and your superior(s) measure and judge the level to which the objectives are achieved?

Revised September, 1977

COPY OF TEST FROM STUDENT MANUAL

Lesson Three
Subjective Portion
Do Not Send In

B. Planning

1. Do you plan for:
   - a. a week
   - b. a day
   - c. one shift
   - d. a month
   - e. longer than a month

2. Are you informed concerning the long-range plans and objectives of the organization?

3. Are your subordinates fully informed of the plans for your group or department.

4. Do you have policies, procedures, and methods written to assist in guiding you in your responsibilities to carry out top management objectives?

5. Do you utilize a budget stated in time, material, money or other units?

6. Do you assist in the preparation of the budget?

7. Are results compared with the budget to study and analyze the variations?

8. Do you make a projection of the future to forecast the equipment, space, material, etc. which your group will require?

9. Do you make a projection to forecast the number and qualifications of employees?

10. Are you familiar with the trends in wages, fringe benefits, and costs?

11. Do you check with available staff specialists to prepare forecasts?

12. Do you consider the tactics of timing, joint action, and approach in implementing changes in developing your plans?

13. Do your plans consider utilization of resources:
    - a. tools and equipment
    - b. work methods and processes
    - c. space
    - d. materials and supplies
    - e. supervisory time
    - f. employee time
    - g. full utilization of work force

COPY OF TEST FROM STUDENT MANUAL

Lesson Three
Subjective Portion
Do Not Send In

14. Do you attempt to make the new employee's transition as smooth as possible?

15. Do you do on-the-job training yourself and/or assign this duty to a qualified subordinate?

16. Are subordinates encouraged to take advantage of training opportunities?

17. Do you formally evaluate your subordinates at least annually?

18. Is a formalized system of evaluation used (a merit rating or performance appraisal system)?

19. Is an appraisal form utilized for performance evaluation?

20. Do you personally perform an appraisal interview with each subordinate.

21. At the close of the interview, do you make certain that the employee has a clear understanding concerning his/her rating?

22. Are employees generally promoted from within the group?

23. Are seniority, merit and ability considered as criteria for promotion?

24. Do you attempt to ensure that wages paid in your group are equitable:

    a. internally within the group
    b. externally with the going rate for similar jobs in the organization and community.

25. Do you review wage and salary information collected by personnel and/or yourself?

C. Organization

1. Are the jobs of the group clearly defined?

2. Are the jobs assigned?

3. Is authority adequately delegated?

4. Are two-way lines of communication established between yourself and your subordinates?

5. Does each employee have a single immediate supervisor?

6. Do you supervise a reasonable number of employees?

Lesson Three
Subjective Portion
Do Not Send In

7. Does each employee know what standards are expected of him/her?

8. Are you inclined to assign the more difficult tasks to the most capable employee?

9. Is your group attached to the organization in a line capacity? In a staff capacity?

10. Is your position described in an organization manual?

11. Are activities grouped by function?

12. Do you have a subordinate who is currently qualified to take over your position?

13. If you do not have a qualified understudy for your position, are you training someone as an understudy?

14. Have organization charts, manuals and position descriptions been prepared?

15. Do you know the leader of the informal organization within your span of control?

16. Do you actively work with and build good relations with the informal leader?

* * * * *

This concludes the audit questions for this lesson. Other audit questions will be presented in the following lessons.

This concludes the Subjective Portion for Lesson Three. Please complete the Evaluation Sheet on the following page and send your lesson in for correction.

OBJECTIVE TEST: LESSON THREE

Master Answer Sheet

1. In case of doubt, too much repetition is better than too little.

   a. True
   b. False

(The answer is A, "True". See text, page 93).

2. Getting the facts is part of which step in problem-solving?

   a. defining the problem
   b. analyzing the problem
   c. developing and evaluating the alternatives
   d. selecting the alternative

(The answer is B, "analyzing the problem." See text, page 72. You might think that this is part of the first step, defining the problem, but it is important to CLARIFY the problem before you seek out the accompanying facts).

3. Another name for the informal communication channel is:

   a. the organization chart
   b. the memo
   c. the grapevine
   d. the weekly staff meeting

(The answer is C, "the grapevine." See text, page 81).

4. The more technical the language, the more certain communication is to be accurate and understood.

   a. True
   b. False

(The answer is B, "False." See text, page 90).

5. A barrior to communication resulting from misunderstanding what actually is being communicated--unfortunately, this misunderstanding is often also unrecognized--results from ______________________.

   a. status and position
   b. resistance to change
   c. language breakdown
   d. employee indifference

(The answer is C, "language." See text, page 87).

6. There is no such thing as a riskless decision.

    a. True
    b. False

(The answer is A, "True." See Text, page 73. No decision is riskless, although some alternatives may carry more risk than others.)

7. "Timing" should be considered under which phase in the problem-solving process?

    a. defining and analyzing the problem
    b. developing alternatives
    c. evaluating the alternatives
    d. selecting the alternative

(The answer is C, "evaluating the alternatives." See text, page 73. Timing may greatly affect two fairly similar alternatives if the time needed to carry out the task varies, for example.)

8. Feedback, as described in your manual, is evaluative, not just descriptive.

    a. True
    b. False

(The answer is B, "False." See manual, page 192.)

9. Communication (often inadequate) which involves the implementation of changes is often viewed with __________ on the part of employees.

    a. suspicion
    b. relief
    c. indifference
    d. disbelief

(The answer is A, "suspicion." See text, page 89. All other reactions are possible, but are usually more of an individual matter while change in general often prompts negative reactions on the part of many inadequately-informed employees.)

10. Consideration of the impact of an alternative upon individuals, personnel and the organization is part of which problem-solving step?

    a. first, definition of the problem
    b. second, analysis of the problem
    c. third, formulation of alternatives
    d. fourth, analysis of alternatives

(The answer is D, "fourth, analysis of alternatives." See manual, page 161.)

11. Decision making affects the supervisor in several ways, not only in making decisions, but also in the training of subordinates to make decisions.

    a. True
    b. False

(The answer is A, "True." See text, page 70. You are not learning the art and skills of decision making just for your own purposes, but also to be able to teach others under your command to make better decisions.)

12. _______________ prompts the formation of rumors when employees want something badly enough that they start "passing the word".

    a. uncertainty
    b. fear
    c. malicious destruction
    d. wishful thinking

(The answer is D, "wishful thinking." See text, page 95.)

13. One aspect of the communication barrier of status and position is that the supervisor and the subordinate are 'coming from' different parts of the organization--hence, their viewpoint is different.

    a. True
    b. False

(The answer is A, "True." See text, page 87.)

14. One of the 'problems' as listed in the manual under 'problems in problem-solving' is that of failure to consider all of the adverse consequences which might result from a selected alternative.

    a. True
    b. False

(The answer is A, "True." See manual, page 165.)

15. Taking no action at all is one alternative in many problem-solving situations and should be considered as such.

    a. True
    b. False

(The answer is A, "True." See text, page 74.)

Wilbur's possible analysis and solution of his problem with the sludge flow meter.

I. Define Problem and Objectives

A. Problem

The present sludge flow meter is unreliable and repair/adjustments of meter require too much operator attention.

B. Objectives

1. Eliminate high frequency of maintenance on sludge meter.
2. Relieve operators of time previously spent attending the sludge meter.
3. Improve operator morale.
4. Achieve more reliable and more consistent sludge flow indications.

II. Management Assumptions

A. Alternatives

1. Replace meter with new-style meter.
2. Send present meter to factory for complete overhaul.
3. Turn maintenance/adjustments of meter over to Hal Jones, Maintenance Chief (acting).
4. Remove meter and instead use timed pumping-rates to arrive at the daily sludge volume.

B. Criteria for Evaluation of Alternatives

1. Evaluate immediate cost.
2. Evaluate long-term cost.
3. Evaluate man/hour requirements for maintenance and adjustments.
4. Evaluate impact on employee motivation and morale.

III. Solution Development Approach

- A. Determine objection to present sludge meter
    1. High frequency of maintenance.
    2. Excessive downtime of meter.
    3. Too much of chief operators time spent on repair of meter.
- B. Determine objection to new meter
    1. Expensive to purchase.
    2. Much re-piping to install.
    3. Time required for training of operators in proper operation and maintenance of new meter.
- C. Evaluate Existing Meter
    1. Review Maintenance Records of existing meter.
    2. Compare against operating specifications.
    3. Compare existing versus new meters.
- D. Specific Communication techniques
    1. Interview with Whipple to discuss coming change.
    2. Meeting with employees requested by memo.
    3. Also meet with those employees whom are most affected by the change.
    4. Require written report and presentation on A, B and C, above.
    5. Management should obtain feed-back from the most affected individuals, giving each an opportunity to comment.

IV. Evaluation of Alternatives

- A. Install new style meter
    1. Advantages
        - a. Anticipated long term expense is lower.
        - b. More reliable sludge flow indication.
        - c. Less maintenance time for operators.

2. Disadvantages
    a. Initial expense high.
    b. Necessary re-piping is time consuming and expensive.
    c. Problem in disposing of old flow meter.
    d. Training time for operators.

B. Send present meter to factory for complete overhaul
  1. Advantages
    a. No re-piping necessary.
    b. No retraining of operators necessary.
    c. Lower initial cost than new meter.
  2. Disadvantages
    a. Long-term cost may remain excessive.
    b. Reliability may always be questioned.
    c. Operators may still be unable to repair.

C. Turn maintenance over to Hal Jones
  1. Advantages
    a. Relieves operators of responsibility for repair/adjustments.
    b. Eliminates additional initial expense.
  2. Disadvantages
    a. Adds to work load of maintenance section.
    b. Probability of additional spare parts inventory.
    c. Increasing long-term maintenance costs.

D. Removal of present meter-replacing with flanged pipe
  1. Advantages
    a. Most economical alternative.
  2. Disadvantages
    a. May require rebuilding of sludge pumps to calculate daily sludge flow.

V. Recommendation

Purchase new sludge flow meter, preferably, the magnetic model. Although the cost is a little higher than those of other brands, it will not require modifications on the existing piping. Furthermore, this model offers solid state components that can be easily obtained and economically replaced. In addition, this model requires less calibration and will be available immediately with no waiting time for its delivery.

The only adverse consequence which might result from choosing this model is that the present plant personnel will not be able to trouble-shoot this unit since sophisticated calibration apparatus are required. The manufacturer will, however, send technical personnel bi-annually to calibrate, adjust and clean the meter for a nominal fee.

If this recommendation is approved, operation and maintenance personnel should be informed as of the exact day and time the meter will be replaced in order to plan operational shut down. Maintenance personnel should be standing by to help with the removal of old meter. Installation and wiring of the new unit is planned to require only two hours, thus preventing a long shut-down of the dewatering system.

SUPERVISORY MANAGEMENT AUDIT COMMENTS

A. Objectives

- "Yes" answers are critical to #1 and #2. A "No" answer to either or both indicates review and improvement are probably needed.
- "No" answers to more than two questions indicates review and improvement are probably needed.

B. Planning

- "Yes" answers are critical to #1, #13, #16, #17, #18 and #20. "No" answers to any one or more of these questions indicates review and improvement probably are needed.
- "No" answers to more than five questions indicates review and improvement probably are needed.

C. Organization

- "Yes" answers are critical to #1, #4, #7 and #16. "No" answers to any one or more of these questions indicates review and improvement are probably needed.
- "No" answers to more than five questions indicates review and improvement are probably needed.

MODULE FOUR

PLANNING AND ORGANIZING

Session 1: The Manager and Planning

Assigned Text Reading: Chapters 7 and 8

Session 2: The Manager and Organizing

Assigned Text Reading: Chapters 9, 10, and 11

PERFORMANCE-ORIENTED WORKSHEET
MODULE FOUR, SESSION 1

CURRICULUM: Water Quality Control Program

COURSE: Supervisory Management in the Water/Wastewater Field

SUBJECT MATTER: Managerial Principles

MODULE FOUR: Planning and Organizing

Session One of Two: The Manager and Planning

Estimated Time for this Session: Three classroom hours

Prerequisites for this Session: Familiarity with content of Lesson Four, Section 1, of student manual

PERFORMANCE OBJECTIVE: (3 Parts)

ACTION/TERMINAL BEHAVIOR: The learner will identify planning terms correctly (including objectives, policies, procedures, methods, rules and budgets). The learner will list the necessary aspects to include in a utility's financial plan. The learner will identify the supervisor's most important and valuable resource. The learner will demonstrate at least one approach to be used in planning one's own time.

CONDITIONS: The learner will be given the definitions for the six different terms involved in planning. The learner will be given a list of statements from which to select prime areas of importance, in determining one's own time priorities.

ACCEPTABLE PERFORMANCE: The learner will correctly identify planning terms with the definitions of those terms. The learner will list five necessary aspects to be included in a utility's financial plan, in one sentence each. The learner will distinguish between planning strategy and tactics in one to three sentences. The learner will identify the supervisor's most important and valuable resource in one sentence.

JUSTIFICATION OF OBJECTIVE: The learner needs to develop skill in the five functions of a manager, of which planning is the first function. The learner needs to develop skill in planning in regard to personal use of time and to the planning which is required in the operation of the utility. The learner will benefit from knowledge of planning aids, such as the use of PERT, or Management by Objectives.

INSTRUCTIONAL ACTIVITIES:

Instructor Activity:

1. Preparation includes familiarity with content of Chapters 7 and 8 in the textbook and the first section of Lesson Four in the student manual.
2. Initiate classroom discussion with an analysis of the importance of planning, also including problems which prevent adequate planning from taking place.
3. Have the class analyze their own use of time in Planning for Yourself (see exercise located in Instructional Resources).
4. Discuss the terms involved with the planning function, distinguishing each one from the other: objectives, policies, procedures, methods rules and budgets.
5. Describe some aids to planning, including the use of PERT and Management by Objectives (see Instructional Resources for background material here). You may want to have students work through an exercise on PERT.
6. Stress the importance of comprehensive planning when involved with the utility's financial plan.
7. Conclude with an overview of planning (see page 247 in the student manual) encouraging students to provide examples or experiences on each point.

Learner Activity:

1. Participation in class discussion on the importance of planning and obstructions which hinder proper planning.
2. Complete the Planning for Yourself exercise as instructed.
3. Participate in class discussions on planning terms, and provide examples or experiences when relevant.
4. Take Mini-Review Quiz as found in the student manual. Complete reading assignments as found in student manual (and additional outside readings, if available).

INSTRUCTIONAL RESOURCES:

Selected:

A. Planning for Yourself exercise as found on the following pages, provides an opportunity for students to analyze and set priorities for their own lives, which will enable them to be more efficient managers.

PLANNING FOR YOURSELF

Time is life. It is irreversible and irreplaceable. To waste your time is to waste your life. To master your time is to master your life. There is no such thing as lack of time. However, we spend it--it goes on at the same pace. We each have 168 hours to live a week, no more, no less.

The differences between us, whether we control our life or it controls us, the differences lie in the effective use of those 168 hours week in and week out.

The ideas in these pages, though simple, are powerful ideas that will help you get control of your time and your life. To get the most out of them, do these four steps:

1. As you go through these pages for the first time, check off those ideas that seem particularly meaningful to you and the ones you think you will want to apply right away.
2. After you have been through it once, go back and look at the checked items and put an A to the left of the ones that seem better than the rest. You can have as many A's as you want.
3. Next, go back and look at the A's and find the very best A's in the entire pages and indicate them as A-1, A-2, A-3, A-4 and A-5, the five best ideas for you.
4. Once you have found your five ideas, begin at once to apply them.

When you focus on better time use, you'll find yourself working easier and doing more. Ulitimately earning more and enjoying yourself more. You'll be able to cope with the time robbers of your life. You'll be less uptight. You'll find you really do have time for your family and friends. Time to relax. Time to do all those things you've always wanted to do. Time to live. So don't procrastinate, do it now.

PLANNING FOR YOURSELF

____ List goals, set ABC priorities.

____ Make a daily "to do" list.

____ Start with A's, not with C's.

____ Ask Lakein's question: "What is the best use of my time right now?"

____ Handle each piece of paper only once.

____ Do it now!

____ Work smarter, not harder.

____ Make a Lifetime Goals list of what you really want out of life.

____ Make a work goals list of what you really want out of your job.

____ List goals for the next six months.

____ Make sure that you pinpoint the really important elements in your job and your life.

____ List specific activities that you can do each day to move toward your goals.

____ Make a daily "to do" list to be certain that you are moving steadily towards your goals, not just filling hours.

____ Write it down, don't try to keep your list in your head.

____ Have one list, not scraps of paper.

____ Do it routinely at the same time every day.

____ Re-write or update your list as new items come up during the day.

____ Set ABC priorities, then find the best A-s; A-1, A-2, and A-3.

____ Do the A-1 right now.

____ Remember it is not crossing out items that counts, but making better use of your time.

____ Do first things first.

____ Don't schedule every minute of the day with appointments.

____ Be sure to save some uncommitted time each day to handle unexpected happenings.

____ Divide time and tasks into manageable parts and conquer each part in turn.

____ Start with most profitable parts of large projects.

____ Remember that 80% of the value comes from 20% of your time, and put your time where the value is.

____ Analyze the economics of spending another hour on a particular item.

____ Don't get bogged down on low value activities.

____ Give yourself enough time to concentrate on the high priority items.

____ Select the best time of the day for the type of work to be done.

____ Keep in mind your long-term goals even while doing the smallest tasks.

____ Lose a few battles in order to win the war.

____ Plan your work and work your plan.

____ Have a time budget and record how you actually spend your time.

____ Watch for time spent on trivial activities which could be avoided in the future.

____ Check to see if you are putting enough time into the key aspects of your job.

____ Make sure your newest responsibilities are getting their fair share of your time.

____ Before you start something, consider delegating it or talking someone else into doing it.

____ Concentrate on items where you personally can make an important difference.

PLANNING FOR YOURSELF

____ When appropriate, do a C which is an A for someone important to you, but don't always do other's A's at the expense of your own.

____ Learn to say "no" graciously.

____ Recognize that it is better to say "no" at the start than disappoint people because you are over committed and then let them down.

____ Consider reports and paperwork as primarily for your benefit in achieving your priorities.

____ Sort a pile of paperwork into A-, B-, and C- piles.

____ Put the A's and B's in a special spot on the top of your desk.

____ Put the C's into a C-drawer out of sight and out of mind.

____ Don't use desk neatening and paper shuffling as an escape from the A's.

____ Ask yourself "What will happen if I don't do this C?" and if the answer is "Nothing," don't do it.

____ Do "instant task" that take just a few minutes and start big, important jobs moving.

____ Turn a big job into "Swiss cheese" by starting with little pieces and then finishing in big chunks of time.

____ Ask yourself, "Is a meeting really necessary?"

____ Clearly identify your purpose and objectives for a meeting.

____ Try to fulfill your meeting objectives in the least possible time.

____ Examine old habis for possible elimination or streamlining.

____ Find one technique each day which you can use to help yourself gain time.

____ Put the added meaning of self-improvement into doing routine tasks.

____ Give up forever all waiting time and consider that time as a "gift of time".

____ Squeeze short tasks into otherwise wasted moments.

____ Count all time as "on" and live twenty-four hours every day.

____ Don't be a clock watcher, tense about filling every minute.

____ Recognize the value of time spent truly relaxing.

____ Sharpen your awareness of time.

____ Consider time as money and invest it wisely.

____ Do time feasibility studies before undertaking major time commitments.

____ Try increasing your work pace from time to time.

____ Find new ways to delegate.

____ Improve your follow-up on delegated tasks.

____ Require completed work from your subordinates.

____ Spend more time training subordinates to do a better job.

____ Use your secretary to save your time.

____ Avoid tendancies to "do it yourself."

____ Never put off for tomorrow what you can get someone else to do today.

____ Prepare a written agenda and distribute it in advance to give attendees time to prepare.

____ Stick to the agenda.

____ Give up some details to simplify the task of getting the significant items covered.

PLANNING FOR YOURSELF

____ Expect something to come out of each meeting.

____ Print minutes of meetings indicating decisions and next steps for follow-up.

____ Quickly get to the purpose of a telephone call.

____ When you have finished the purpose of the call, recognize your need to return to other priority tasks.

____ Try to arrange personal visits so that you have flexibility in terminating the discussion.

____ Meet visitors in the reception area rather than your office.

____ Recognize that inevitable some of your time will be spent on activities outside of your control and don't fret about it.

____ Concentrate on areas where you have control of your time.

____ Remember Lakein's Law: "There is always time for the important things."

____ Make a brief note to yourself of the next priority step before you service an interruption.

____ Keep a reminder of your top priority tasks in a place you will notice after handling an interruption.

____ Concentrate on one thing at a time.

____ Develop a common effort of better time usage with the assistance of others in your organization.

____ Set deadlines for yourself and others.

____ Arrange joint schedules with others to minimize interrupting each other's concentration and still have effective information flow.

____ Add to the end of meeting agendas the question, "How can we spend time more effectively in our next meeting?"

____ Help your boss to make better use of your time.

____ Get everyone on your management team thinking about better time management.

____ Ask others, "What can I do to help you make better use of your time?"

____ Whenever you have an opportunity, try to save other people's time.

____ When others take actions which help or hinder your efforts to make good use of time, share your thoughts with them in constructive manner.

____ Improve time utilization of others in your organization.

____ Adopt the ABC priority system as standard practice.

____ Periodically, review each person's C's for possible elimination of unnecessary work.

____ Distribute copies of How to Get Control of your Time and Your Life by Alan Lakein.

____ Use reminder aids, such as signs, to reinforce ideas on good time management.

INSTRUCTIONAL RESOURCES:

Selected:

B. MBO--What is it? What does it Do? An article contributed by the Metro Waste Commission seminars in St. Paul, MN.

PAGES 151-162 "MBO-WHAT IS IT? WHAT DOES IT DO?" DELETED DUE TO COPYRIGHT RESTRICTIONS

INSTRUCTIONAL RESOURCES:

Selected:

C. Several articles from Annual Handbook for Group Facilitators, University Associates Publishers, Inc., John E. Jones and J. William Pfeiffer, Editors.

1. PERT "An Introduction to Pert...or...", 1972, pp. 135-137.
2. M B O "Management by Objectives," 1972, pp. 130-132.

INSTRUCTIONAL RESOURCES

Selected:

D. Future Reference Articles: The following is a list taken from the Future Reference Portion of Lesson Four, Section 1, in the student manual, Supervisory Management in the Water/Wastewater Field, Michigan State University, 1977. This list of articles has been included for your additional information.

Baker, James B., "Management Accounting Tool Aids," Journal, American Water Works Association, November 1971, pp. 692-695.

Hembree, James W., "Planned Measurement of Meter Repair and Maintenance Costs," Journal, American Water Works Association, Vol. 68, No. 10, October 1976, pp. 504-508.

Joint Discussion: Equipment Selection (authoris: Grumwell, J.A. Wood, D.A. Whitney, J.B. Woods, J.R. Fielding, D.S. Fulton, and W.H. Powell), Journal, American Water Works Association, March 1972, pp. 136-142.

Kazimer, Leonard J., Principles of Management, A Programmed Instructional Approach, 3rd Edition, New York, McGraw-Hill Book Company, 1974, pp. 60-87, 90-98.

Keller, Charles W., "Physical and Financial Master Planning," Journal, American Water Works Association, February 1972, pp. 71-74.

Kollar, K.L., and Brewer, R., " Industrial Development Through Water-Resources Planning," Journal, American Water Works Association, Vol. 67, No. 12, December 1975, pp. 686-690.

Lazzaro, Victor, editor, Systems and Procedures: A Handbook for Business and Industry, Prentice-Hall, Inc., Englewood Cliffs, New Jersey, 1968, p. 262.

McWhinnie, Robert C., and Spaulding, J.M., "Responsibility Budgeting: A Management Tool," Journal, American Water Works Association, May 1972, pp. 275-279.

Sayles, Dwight R. and Stratton, Roel K., "Some Sound Basic Steps for Financial Planning," Journal, American Water Works Association, Vol. 69, No. 4, April 1977, pp. 200-202.

Ward, P.S., "What 208 Planning Can Do: A Local and Federal View," Journal, Water Pollution Control Federation, Vol. 48, No. 7, July 1972, pp. 1692-1696.

METHOD OF EVALUATION

Written Test, as located on pages 283-295 of student manual. However, the test is not to be completed until Session 2 of this module is finished.

PERFORMANCE-ORIENTED WORKSHEET
MODULE FOUR, SESSION 2

CURRICULUM: Water Quality Control Program

COURSE: Supervisory Management in the Water/Wastewater Field

SUBJECT MATTER: Managerial Principles

MODULE FOUR: Planning and Organizing

Session 2 of 2: The Manager and Organizing

Estimated Time for this Session: Three classroom hours

Prerequisites for this Session: Familiarity with content of Lesson Four, Section 2, of student manual

PERFORMANCE OBJECTIVE: (3 Parts)

ACTION/TERMINAL BEHAVIOR: The learner will distinguish between unity of command and span of supervision. The learner will identify the distinction between line and staff, and apply this distinction to the utility area. The learner will list the major points to follow in conducting a meeting with at least two amplification areas under each point. The learner will apply the tenets of job cost reduction to a particular cost reduction program.

CONDITIONS: The learner will be provided with the terms: unity of command, span of supervision, line and staff. The learner will utilize his or her own job situation in analysis of job cost reduction, or will be provided with the situation as it exists at River City.

ACCEPTABLE PERFORMANCE: The learner will distinguish between certain terms which apply to organization, in one to three sentences each. The learner will list three major points to be followed in conducting a meeting with two subpoints under each major point. The learner will list an organizational approach to cost reduction, including the following aspects as a minimum:

a) memos to be written
b) meetings to be held
c) who and what departments to involve
d) consideration of schedules and man-hours required to perform
e) plans for continuation of the cost reduction program after the first year

JUSTIFICATION OF OBJECTIVE: Organizing is the second function of the manager and needs to be properly handled to help the manager perform as such. Job cost reduction is one of the prime considerations facing many managers and is essential to the efficient functioning of a utility.

INSTRUCTIONAL ACTIVITIES

Instructor Activity:

1. Preparation includes familiarity of contents of Chapters 9, 10 and 11, in the textbook and Section 2 of Lesson Four in the student manual.
2. Instructor provides an overview of organizing, illustrating such concepts as: unity of command, span of supervision, line versus staff distinctions, departmentation, and matrix structures. These should be applied, in each case, to student experience and understanding.
3. Apply the aspect of communication to organizational structure, utilizing student experiences to consider the problems which result from certain structures.
4. Go over meeting procedures, including the checklist, on Before the Meeting. (See Instructional Resources.)
5. Consider elements which cause meetings to be ineffective or inefficient.
6. Look at group problem-solving situations, using one or both of the examples provided ("Twelve Angry Men Prediction Task" and "Shoe Store: Group Problem-Solving") or utilize another example.
7. Discuss the elements of planning and organizing which relate to job cost reduction (subject of the test in the student manual).
8. Review the materials covered in class to catch student confusion or questions.

Learner Activity:

1. Provide examples or experiences or questions as desired by Instructor.
2. Work checklist "Before the Meeting".
3. Participate in group activities involving group problem-solving.
4. Provide ideas toward job cost reduction.
5. Take the mini-review as found in the student manual for Section 2, Lesson Four. Complete the assigned readings, (both textbook and student manual) as instructed.

INSTRUCTIONAL RESOURCES:

Selected:

A. Checklist on "Before the Meeting", as utilized from the management Seminar conducted by the Metro Waste Control Commission, St. Paul, Mn, Spring of 1976.

CHECKLIST

BEFORE THE MEETING

Put this checklist in a handy place and use it to plan every meeting:

1. What is the purpose of the meeting? Ritual? Briefing? Information? Instruction? Consultation? Decision-making? Game Plan?

2. What are the outcomes to emerge from the meeting? Specify in observable behavior.

3. What method of presentation will best achieve the purpose? Lecture and discussion? Short presentation by several people to be followed by discussion?

4. Who will participate? Have left out someone who should be invited? Included someone who need not be involved?

5. Who will serve as leader?

6. Where is the best place to hold the meeting? What is a good time? How long should the meeting last?

7. How and when will the participants be briefed on the meeting and given directions for preparation?

8. What physical details need to be taken care of? Will the room be ready and open? Ventilation or heating? Audio-visual aids? Can we guard against unnecessary distractions? Refreshments advisable?

9. How will the proceedings and results be recorded?

10. Who will prepare the agenda? Will it be circulated in advance?

11. How will the meeting be evaluated?

12. What will be done to "follow-up" and apply the results of the meeting?

(Additional "checks" of your own?)

CHECKLIST, Cont.

TYPE	PERSON IN CHARGE	JOB OF PERSON IN CHARGE	ROLE OF CONFEREES
Ritualistic	Someone with higher organizational status than conferees.	Chair and conduct the meeting. Sometimes employs parliamentary procedure.	To make presentations when called upon. To listen to others presentations.
Informational/ Briefing	Someone with higher organizational status.	Prepare agenda and conduct meeting. Information giver.	Receive information; ask questions in order to facilitate understanding information.
Instructional	Instructor	Instruct members using recognized instructional methods.	Receive information and internalize so as to perform the new task.
Consultative	Someone with higher organizational status.	Pool information from conferees in order to make decisions.	Provide relevant and appropriate data to decision maker.
Planning/ Game Plan/ Strategy	Usually person responsible for the objective; but could be any person on the task force team.	Coordinate and facilitate tasks of individuals in order to accomplish agreed upon objective.	Provide data on task accomplishments; accept and assign remaining duties; implement tasks.
Problem-Solving/ Decision-Making	Conference leader who may or may not have organizational status.	To lead, direct, control discussion and carry group through procedure of constructive thinking and action.	Participate in problem identification, discussion and solution. Share responsibility and commitment to group decisions and actions.
Advisory Board	Where a governmental agency, to satisfy a law or parts of regulation, appoints citizens as well as professionals to a board which meets infrequently.	To advise, concur, examine, assist, recommend actions to the agency.	The Advisory Board elects a chairperson from among the appointees.

CHECKLIST, Cont.

TYPE	PURPOSE(S)	EXAMPLE(S)	RESULTS(S)
Ritualistic	Aid cohesiveness. Assure recognition of authority. Add to the social interaction of the organization.	Department heads making an oral presentation of yearly budget to all Commissioners. Regularly scheduled staff meetings are called also.	Putting a "rubber stamp" on decisions already made. Provide "nice to know" information to personnel.
Informational/ Briefing	Give out job related information and see that it is understood.	Personnel Policies and procedures. Introduction of a new accounting procedure. Organizational reorganization.	Persons in group have and understand information which they did not have before. This information is importan to their job performanc
Instructional	Teach members of meeting to do a job.	Supervisor teaching how to operate a piece of equipment, process or analytical tool. Manager instructing his staff about a new record-keeping technique.	Persons in group can do something which they could not do before; they have some addi[illegible]nal skill or knowledge or both.
Consultative	Pool information and advice to person responsible for a decision.	Business Manager requesting crew supervisor input for maintenance shop location reviewing a proposed acquisition.	The decision-maker has the best, relevant and time information.
Planning/ Game Plan? Strategy	Decide who does what, when. Examine resources and clarify strategies and tactics to accomplish an understood & agreed upon objective.	Training Department sponsering a Training Mgrs. Conference. Customer Relations staff preparing a presentation to a parent-teacher group about rate increases.	Assignments, work and duties clarified. Due dates assigned. Specific strategies assigne to carry out objectives
Problem-Solving/ Decision-Making	Examine problems. Make decisions. Formulate course action.	Different production areas meet to reduce rejections. Staff meeting to reduce general expenses.	Commitment from the group. Pooling of resources to solve pr[illegible]lem. A united decision Shared responsibility for course of action.

INSTRUCTIONAL RESOURCES:

Selected:

B. Two selections are suggested which are from the Annual Handbooks for Group Facilitators, by John E. Jones and J. William Pfeiffer, Editors, La Jolla, California, University Associates Publishers, Inc.

  1. "Twelve Angry Men Prediction Task," 1972, pp. 13-16.

  2. "Re-Owning: Increasing Behavioral Alternatives," 1974, pp. 18-19.

INSTRUCTIONAL RESOURCES:

Selected:

C. A good group problem-solving case is found in A Handbook of Structured Experiences for Human Relations Training, Volume IV, 1973, by J. William Pfeiffer and John E. Jones, Editors, University Associates Publishers, Inc., La Jolla, California, pp. 5-7.

INSTRUCTIONAL RESOURCES

Selected:

D. Future Reference Articles: The following is a list taken from the Future Reference Portion of Lesson Four, Section 2, in the student manual, Supervisory Management in the Water/Wastewater Field, Michigan State University, 1977. This list of articles has been included for your additional information.

Banker, R.F., "Coping with Increasing Costs," Journal, American Water Works Association, Vol. 67, No. 11, November 1975--Part I, pp. 600-603.

Corbalis, J.J., Jr., "Utility Monies Re: Federal Law," Journal, American Water Works Association, Vol. 69, No. 1, January 1977, pp. 3-4.

Davis, Keith, Human Behavior at Work, Fourth Edition, McGraw-Hill Book Company, New York, p. 197.

Hetling, Leo J., Carcich, I.G., Mack, Peter J., and Klimek, John C., "Grant Aid for Plant Operations: An Evaluation," Journal, Water Pollution Control Federation, Vol. 48, No. 11, November 1976, pp. 2529-2540.

Hollman, Kenneth W. and Boyet, Wayne E., "An Empirical Analysis of Water-Price Determinants an Small Municipalities," Journal, American Water Works Association, Vol. 67, No. 5, May 1975, pp. 274-277.

Ingram, Harry E., "Revenue Collection in Cobb County," Journal, American Water Works Association, January 1977, pp. 10-12.

Laurence, Daniel C., "Cincinnati's Approach to Meter Reading and Billing," Journal, American Water Works Association, Vol. 67, No. 11, November 1975--Part I, pp. 604-606.

Maitland, Albert J., "Water-Rate Reformulation," Journal, American Water Works Association, Vol. 67, No. 5, May 1975, pp. 262-263.

Morris, C. Robert, "Methods of Cost Control," Journal, American Water Works Association, Vol. 69, No. 9, September 1977, pp. 463-467.

Reiter, Glenn M., "Survey and Comparison of California Water Agencies- Rate Structures," Journal, American Water Works Association, Vol. 69, No. 7, July 1977, pp. 356-363.

Shields, John R., "The Effect of Inflation on Water-Utility Budgets," Journal, American Water Works Association, Vol. 69, No. 1, January 1977, pp. 5-9.

Sinnott, Walter B., "Scheduling Major Capital Expenditures Expenditures to Minimize Costs," Journal, American Water Works Association, Vol. 67, No. 5, May 1975, pp. 271-273.

Tinsley, W.E., "Improving the Marketability of Bonds," Journal, American Water Works Association, Vol. 67, No. 5, May 1975, pp. 268-270.

Williams, Theodore C., and Roberts, Eugene E., "Policies of Water-Utility Management Concerning Rate Structure," Journal, American Water Works Association, Vol. 69, No. 1, January 1977, pp. 45-46.

METHOD OF EVALUATION

Written Test as located on pages 283-295 of student manual to be completed upon instruction.

OBJECTIVE TEST: LESSON FOUR

(place answers on the sheet proceeding these questions)

1. Unity of command means that each employee has only one immediate supervisor.

   a. True
   b. False

2. "Time is money" is an apt description of the ________________.

   a. supervisor's time
   b. employee's time
   c. both the supervisor's time and the employee's time
   d. the boss's time

3. The type of meeting in which the chairperson does most of the talking and the group's questions deal only with clarification of the subject is termed a(an) ____________________ type of meeting.

   a. discussional
   b. committee
   c. conference
   d. informational

4. The span of supervision means that there is one person in each organizational unit who has the authority to make certain decisions appropriate to the position.

   a. True
   b. False

5. Types of repeat-use or standing plans are policies, procedures, methods and rules.

   a. True
   b. False

6. Informal work groups always restrict productivity.

   a. True
   b. False

COPY OF TEST FROM STUDENT MANUAL

Lesson Four
Objective Test
Keep this page in your book

7. The person selected by the supervisor to be an 'understudy' may exhibit a reluctance to assume responsibility. The supervisor should ________.

   a. simply state that these responsibilities are part of the job and the person can take it--or leave it.
   b. realize this is an indication of inadequacy and select another person.
   c. do nothing, since this stage of fright will vanish shortly.
   d. carefully coach the employee and provide gradual training with lots of encouragement.

8. The job ____________________ describes the human or personal qualities which are necessary to perform the job adequately.

   a. description
   b. specification
   c. recentralization
   d. organization

9. Full utilization should be made of all of the following, but _____________ are a supervisor's most important resource according to the text.

   a. tools and equipment
   b. work methods and processes
   c. safety and space arrangements
   d. employees

10. One example of a single-use plan is a ______________.

   a. regulating principle or directive
   b. an indication exactly how each step is to be carried out
   c. chronological sequence of definite acts which are to be performed
   d. budget

11. Departmentation refers strictly to departments, not to offices, divisions, or units.

   a. True
   b. False

12. Plans for the work loads of employees should be based on the attitude that _________________.

   a. employees want to do the right thing, and work accordingly.
   b. employees shirk their duties and must be made to work faster--hence a maximum amount of time should be planned for.
   c. Employees need to be pushed, hence setting a minimum amount of time is the most productive way to plan.
   d. employees will work usually more efficiently than expected, hence, plans should be made with a minimum amount of time in mind.

Lesson Four
Objective Test
Keep this page in your book

13. The matrix structure appears to conflict, in part, with which concept?

    a. span of supervision
    b. unity of command
    c. departmentation
    d. functional staff authority

14. Successful planning ofent requires the use of appropriate timing.

    a. true
    b. false

15. Primary objectives are goals established ______________________.

    a. for divisions and departments
    b. for the entire organization
    c. by the middle managers
    d. by the individual employees

NAME ______________________________

Lesson Four
Subjective Portion
To Be Sent In

COPY OF TEST FROM STUDENT MANUAL

SUBJECTIVE PORTION, PART I.

Try to contain your answer to this sheet and two additional ones at most.

PART I. Wilbur has an important task to accomplish before next week's meeting. He has stated that he will have the organization and planning work completed for the cost reduction program.

Help Wilbur out by developing the organizational approach and plan you would utilize to perform an effective cost reduction program.

The organization should include consideration of memos to be written, meetings to be held, who and what departments should be involved, etc. The plan should include consideration of schedules, man hours required to perform the program, and how to keep the cost reduction program active after the first year. Please utilize the management systems approach presented in Lesson Three, Section 1, to develop your answer to this problem.

When this part is completed, go right on to Part II, which is the Supervisory Management Audit...

COPY OF TEST FROM STUDENT MANUAL
NAME ______________________________

Lesson Four
Subjective Portion
To Be Sent In

SUBJECTIVE PORTION, Part II.

SUPERVISORY MANAGEMENT AUDIT ANSWER SHEET

Place your answers to the following questions on this sheet.

D. Staffing

	YES	NO	NOT APPROPRIATE
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			
11.			
12.			
13. a			
b			
c			
d			
e			
f			
g			

Lesson Four
Subjective Portion
Do Not Send In

SUBJECTIVE PORTION, PART II.

Read over the questions as you did for Lesson Three. The answer sheet for this part is located immediately preceeding these pages. Answer each question as accurately as you are able to. This is not a test. It is for your benefit--to provide you with insight into your position.

SUPERVISORY MANAGEMENT AUDIT (CONTINUED FROM LESSON THREE)

D. STAFFING

1. Have you defined the specific qualifications for employees hired for your group?
2. Do you interview, select, and hire from candidates the individual you consider most appropriate for a particular position?
3. Are all new employees assigned to specific jobs?
4. Is each new employee introduced to the specific details of his/her job, rules, hours, etc.?
5. Do you follow-up and check on each employee's performance?
6. Do you discipline your subordinates?
7. Do you discharge a subordinate if necessary?
8. Are you responsible for determining the need for employees in your department or group?
9. Do you participate in writing the job descriptions for your group?
10. Do you participate in writing the job specifications required of an employee for each job category?
11. Have you utilized the directive interview technique?
12. Have you utilized the nondirective interview technique?
13. Do you prepare for an employment selection interview by
    - a. acquainting yourself with background information on each applicant?
    - b. preparing a schedule or plan for the interview?
    - c. selecting a proper place for the interview?
    - d. trying to place the applicant at ease?
    - e. generating two-way communication?
    - f. attempting to eliminate your personal preferences and prejudices?
    - g. being as honest as possible with each applicant about the selection process?

OBJECTIVE TEST: LESSON FOUR

Master Answer Sheet

1. Unity of command means that each employee has only one immediate supervisor.

   a. True
   b. False

(The answer is A, "True." See text, page 142).

2. "Time is money" is an apt description of the:

   a. supervisor's time
   b. employees' time
   c. both the supervisor's time and the employees' time
   d. the boss's time

(The answer is C, "both the supervisor's time and the employees' time." See text, page 128).

3. The type of meeting in which the chairperson does most of the talking and the group's questions deal only with clarification of the subject is termed a(an) ______________________ type of meeting.

   a. discussional
   b. committee
   c. conference
   d. informational

(The answer is D, "informational." See text, page 174).

4. The span of supervision means that there is one person in each organizational unit who has the authority to make certain decisions appropriate to the position.

   a. True
   b. False

(The answer is B, "False." See text, page 142. The span of supervision refers to the upper limit of the number of subordinates which a supervisor can effectively manage).

5. Types of repeat-use or standing plans are policies, procedures, methods, and rules.

   a. True
   b. False

(The answer is A, "True." See text, page 111).

6. Informal work groups always restrict productivity.

   a. True
   b. False

(The answer is B, "False." See text, page 171. Not only is this false, it is sometimes just the reverse--the informal group will set standards so high they are almost unrealistic, yet the group's goal is met).

7. The person selected by the supervisor to be an 'understudy' may exhibit a reluctance to assume responsibility. The supervisor should:

   a. simply state that these responsibilities are part of the job and the person can take it--or leave it.
   b. realize this is an indication of inadequacy and select another person.
   c. do nothing, since this stage of fright will vanish shortly.
   d. carefully coach the employee and provide gradual training with lots of encouragement.

(The answer is D, "carefully coach the employee and provide gradual training with lots of encouragement." See text, page 164).

8. The job ______________ describes the human or personal qualities which are necessary to perform the job adequately.

   a. description
   b. specification
   c. recentralization
   d. organization

(The answer is B, "specification." See text, page 167).

9. Full utilization should be made of all of the following, but ____________ are a supervisor's most important resource according to the text.

   a. tools and equipment
   b. work methods and processes
   c. safety and space arrangements
   d. employees

(The answer is D, "employees." See text, page 134).

10. One example of a single-use plan is a:

    a. regulating principle or directive
    b. an indication exactly how each step is to be carried out
    c. chronological sequence of definite acts which are to be performed
    d. budget

(The answer is D, "budget." See text, pages 116-117. All others are examples of procedures, methods and rules, or repeat-use plans).

11. Departmentation refers strictly to departments, not to offices, divisions, or units.

    a. True
    b. False

(The answer is B, "False." See text, page 145).

12. Plans for the work loads of employees should be based on the attitude that:

    a. employees want to do the right thing, and work accordingly.
    b. employees shirk their duties and must be made to work faster--hence, a maximum amount of time should be planned for.
    c. employees need to be pushed, hence setting a minimum amount of time is the most productive way to plan.
    d. employees will work usually more efficiently than expected, hence, plans should be made with a minimum amount of time in mind.

(The answer is A, "employees want to do the right thing, and work accordingly." See text, page 132).

13. The matrix structure appears to conflict, in part, with which concept?

    a. span of supervision
    b. unity of command
    c. departmentation
    d. functional staff authority

(The answer is B, "unity of command." See text, page 155).

14. Successful planning often requires the use of appropriate timing.

    a. True
    b. False

(The answer is A, "True." See text, page 123. Appropriate use of timing is not always the fastest--the successful supervisor will gauge the desirability of a speedy change--or a slow, gradual one.)

15. **Primary objectives are goals established:**

    a. **for divisions and departments**
    b. **for the entire organization**
    c. **by the middle managers**
    d. **by the individual employees**

(The answer is B, "for the entire organization." See text, page 109).

Organization and Planning for Cost Reduction Program

I. Define Problem and Objectives

A. Problem

1. Cost reduction has become a major issue at River City as stated in the memo from Jack Watson to Herb Carson on August 16. Mr. Watson would like to know an approach to this problem and would like also an idea of the areas where cost reduction might be achieved in time for the forthcoming budget meetings.

2. There is an apparent lack of control over supplies and material.

3. The city budget indicates a deficit for the next several years and every department is being expected to cut at least ten per cent.

B. Objectives

1. Develop the organization and initial plan for an effective cost reduction program for River City water/wastewater utility.

2. The organization should include consideration of memos, meetings, and departments to be involved.

3. The plan should include consideration of memos, meetings, and departments.

II. Management Assumptions

A. Alternatives

1. Use 'bull-of-the-woods" technique to develop a cost reduction plan.

2. Use 'velvet-glove' technique to develop a cost reduction plan.

B. Criteria for Evaluation of Alternatives

1. Impact on total cost including operative, investment, etc.

2. Impact on quality of effluent.

3. Impact on other aspects of service.

III. Solution Development Approach

A. Review the basic analysis technique

There are two general approaches to cost cutting:

"Bull-of-the-Woods"
"Velvet-glove"

1. The "bull-of-the-woods" provides immediate cost reduction. Top management passes the order to all levels below to cut costs by ten per cent. No one cares very much how you do it and no one shows you how to do it. Just cut costs and still get your work done as usual. Bull-of-the-woods methods are ruthless. But, they sometimes work. Leo Dyrocher, of past baseball fame, said "Nice guys finish last". Often, however, bull-of-the-woods methods are unwise since ruthless cutting of people in the utility may hurt morale and essential work may be cut. The results may reduce effectiveness and service of the utility.

2. The idea in the velvet-glove technique is to try to get the whole utility management team to pitch in and work together willingly and enthusiastically at cost reduction. The team tries to pinpoint problem areas so they can be improved, an example would be material control at River City. However, the velvet-glove technique is hard hitting beneath the surface. The management team still expects to reduce costs in hard-to-cut areas.

B. Select the appropriate technique

The bull-of-the-woods approach would probably achieve a ten percent cost reduction in shorter time. However, it is not the appropriate approach because of the possible impact on morale which is already too low at River City. Arbitrary cost cutting without a coordinated plan would likely have a negative impact on service. The cost reduction would very likely only be temporary. Cost reduction and cost control mean about the same thing. Cost control that does not try to keep whittling cost down is mere record keeping. Yet cost control programs that go on forever get to be old hat. Many organizations have found that an occasional special cost reduction plan pays big dividends, even though it often amounts to asking everyone to do better on what they are (or ought to be already) trying to do well. Cost control is a state of mind as much as it is an activity and unfortunately it does not seem to be a natural state of mind. The process of controlling costs is partly an educational process which takes time because attitudes change slowly.

IV. Recommend cost reduction - cost control program

The general steps that River City should implement to develop a successful cost reduction program of the velvet-glove type include:

A. Procedure

1. Request and obtain active top management interest of the water/wastewater utility at River City. The General Manager, Jack Watson, should be persuaded to call a meeting with all employees to impress everyone that he personally is interested and will actively participate in the cost reduction program.

2. Wilbur should set up several committees to handle different areas (See 'Where to Look' ideas provided by Watson in his statement entitled "My Job Cost Reduction"). Assign at least one middle to top manager to each committee, but also include lower level employees on each committee. Be sure to include someone from every department on the committee and cost review areas.

    a. The committees objectives should be to set cost reduction goals, both short term and long term for each area included in their assignment.

    b. The committees should audit (look into) each area for trouble spots and put a dollar value on the cost resulting from each trouble spot.

    c. The committees should also set up recording and reporting procedures to tell the kinds and sources of trouble.

    d. The battle to reduce costs is over half won when you have uncovered the problems and identified what causes that trouble.

B. The committee members will, in the end, have to take action that will achieve lower costs. The heads of departments, Wainwright, and/or Watson will make the final decisions. The individual members especially at lower levels may hesitate to do anything about making the necessary decisions to cut costs. Being on the committee lets them see the need and usually makes everyone more willing to find cost cutting opportunities and to actually try to make the cost reductions.

C. No cost reduction program keeps going on its own after it is started. The committees should continue to compare results against goals initially set at the start of the program. The committees should pay particular attention to areas where goals haven't been achieved This procedure helps make the cost reduction program work.

D. The committee meetings will also help improve communication among all employees. This will develop a climate in which the River City employees will know what the cost levels are, and they will want to reduce these costs, and finally they will learn how to reduce them.

E. Finally, the committees will help through social pressure they apply. The departments in River City that say they can't cut costs won't look good in the eyes of the other employees.

F. The committee meetings and participating in the cost reduction program takes time and must be done in addition to normal work load. However, experience has shown that most of us have time for the things that we think are important. Nearly always we get the time to work at cost reduction by cutting down on things that we waste our own time on. The employees, themselves, become more efficient.

V. Implement Program

A. Procedure

1. Initiate the cost reduction plan based on the velvet-glove approach defined in step III.

2. Remember to have frequent review of progress. Perhaps daily by Wainwright and Watson, and weekly by the committee.

3. Don't slip back. Keep charts of performance.

4. Try to force prospective gains through cost reductions. For example, require that the current level of inventory and proposed new storage space be justified as in memo, page 35, exhibit 10. Also, the addition to staff as in memo, page 28, exhibit 3.

5. Don't let the cost reduction program slacken off if City Hall doesn't press for cost cutting.

B. Remember the following three rules of covering cost control activities

1. It is easier to keep costs down than it is to bring costs down.

2. Costs tend to decrease in direct proportion to the amount of effort put into cost control.

3. There is more benefit in cost control when budgets are less constrained than when budgets are tight. Don't let fat creep in when conditions are good.

4. The amount of effort put into cost control tends to increase when budgets are tight and decrease when budgets are less constrained.

SUPERVISORY MANAGEMENT AUDIT COMMENTS

D. Staffing

. . . "Yes" answers are critical to #1, #4, #5, and #13. "No" answers to any one or more of these questions indicates review and improvement are probably needed.

. . . "No" answers to more than five questions indicates review and improvement are probably needed.

E. Directing

. . . "Yes" answers are critical to #2, #5, #7, and #17. "No" answers to any one or more of these questions indicates review and improvement are probably needed.

. . . Correct answers to #3 and #4 will depend on the particular situation and employees. Generally, #4 would be the recommended approach.

. . . "No" answers to more than five questions indicates review and improvement are probably needed.

MODULE FIVE

STAFFING

Session 1. The Supervisor in Personnel Selection and Training

Assigned Text Reading: Chapters 12 and 13

Session 2: Supervisory Expertise in Employee Performance Appraisal

Assigned Text Reading: Chapter 14

PERFORMANCE-ORIENTED WORKSHEET
MODULE FIVE, SESSION 1

CURRICULUM: Water Quality Control Program

COURSE: Supervisory Management in the Water/Wastewater Field

SUBJECT MATTER: Managerial Principles

MODULE FIVE: Staffing

Session 1 of 2: The Supervisory in Personnel Selection and Training

Estimated Time for this Session: Three Classroom hours

Prerequisites for this Session: Familiarity with content of Lesson Five, Section 1, in the student manual

PERFORMANCE OBJECTIVE: (3 Parts)

ACTION/TERMINAL BEHAVIOR: The learner will identify two different ways of determining staffing requirements. The learner will list at least five opening statements which provide leads into non-directive interviews. The learner will list three suggestions for the manager to [illegible]llow in putting an employee or future employee at ease in an i[illegible]iew situation.

CONDITIONS: The learner will be given two different ways of organizing staffing requirements (continuous activities versus noncontinuous (such as weekend) activities, or first, second and third-shift requirements).

ACCEPTABLE PERFORMANCE: The learner will identify two different ways of determining staffing requirements through descriptions of three to six sentences each. The learner will list five statements which may be used to initiate a non-directive interview. The learner will list three suggestions to follow in putting a person at ease during an interview.

JUSTIFICATION OF OBJECTIVE: Staffing is a function of the manager which is essential if the manager is to have an able and appropriately staffed selection of employees. Correct determination of the staffing needs and the selection of capable employees are the initial steps toward performing this function.

INSTRUCTIONAL ACTIVITIES

Instructor Activity:

1. Preparation includes familiarity with the content of Chapters 12 and 13 in the textbook and the first section of Lesson Five in the student manual.

2. Open with class discussion on staffing needs and determination of staffing requirements. Encourage class members to identify problems involved with staffing (such as "How do you obtain approval and financing for additional staff members?").

3. Discuss ways of looking at staff requirements (student manual lists two different ways: continuous versus noncontinuous activity and shift times (first, second and third).

4. List the ways in which employee vacancies are advertised.

5. Consider the employee selection procedures: resumes, recommendations, experience, criteria which the manager should utilize for employee selection. Use class members experiences to consider employee selection.

6. Practice interviewing techniques; both directive and nondirective. (See student manual, page 312 for nondirective interviewing leads.) Instructor may want to use the "Active Listening Drill" (See Instructor's Resources).

7. Have class provide a list of suggestions on employee orientation procedures which are particularly effective or have worked well in practice.

8. Provide summary of class lecture and discussion on staffing from determination of staffing needs through employee orientation once the employee is hired.

Learner Activity:

1. Participate in class discussion, providing questions, experiences or thoughtful comments, as requested by Instructor.

2. Interact with class members in role plays or other class activities.

3. Complete questionnaire or other individual class materials, as handed out.

4. Take Mini-Review quiz as found in student manual, following Section 1 of Lesson Five, when instructed to do so or at the conclusion of the first portion of this Module. Complete assigned readings to accompany material.

INSTRUCTIONAL RESOURCES:

Selected:

A. The exercise which follows titled "Active Listening Drill" may be used in connection with interviewing skills.

ACTIVE LISTENING DRILL

DIRECTIONS: Cover the first response of the 'supervisor' with a piece of paper. First read the 'employee's message, then formulate your own 'active listening' response to feedback that you heard in the 'employee' message. Then slide the cover paper down so you can read the 'active listening' response of the 'supervisor' and compare this with your own response. Continue this procedure throughout both dialogues.

Active Listening Dialogue I

Employee: John, I have been working at this job for years and never received a promotion even though I have applied for one several times.

Supervisor: Mike, you seem somewhat bored with the job you're doing.

Employee: I am, pushing buttons all day is not really that exciting or challenging.

Supervisor: You want work that provides more excitement and challenge.

Employee: Sure, I am a fairly bright guy and feel as if I could handle something a little more stimulating.

Supervisor: You are concerned that the work you're doing now is far below your capabilities.

Employee: Well, there are men who haven't been here as long as I, and they have already moved rapidly up the ladder.

Supervisor: You feel as if you have been treated unfairly.

Employee: Sure, some of those guys have college degrees and lots of experience, but not all of them. Some of the guys I went to school with.

Supervisor: Since all the men involved aren't college graduates, you want to know why you have been excluded.

Employee: Yes. I applied for the same positions those guys did, but I'm never called.

Supervisor: That's really frustrating.

Employee: I keep trying and nothing ever seems to happen. When I inquire as to why, I'm told my qualifications are good and that I just missed the cut-off.

Active Listening Dialogue I, Cont.

Supervisor: Not only is that frustrating, but it makes you suspicious.

Employee: The only thing in my past that could possibly get in my way was my arrest record from age eighteen.

Supervisor: You are afraid your criminal record is an obstacle.

Employee: Yes, but when I'm interviewed I try to explain, and everyone says that it is unimportant.

Supervisor: You are confused as to what is really happening.

Employee: I think that maybe it's not important but it has been the only thing that I can attribute to being passed over.

Supervisor: It is unclear to you whether your record or something has caused you to be passed over. I know this is important to you and I will try to find out.

Active Listening Dialogue II

Supervisor: Mike, I was reviewing the quarterly time and attendance report and noticed you've been late for work twenty times in the past month and a half. I'm wondering if there is some problem you might want to discuss.

Employee: I have frequently been late for work and probably could have explained this before now. My wife has been seriously ill for the past couple of months and the doctor doesn't know what is wrong with her.

Supervisor: You must really be worried and upset over your wife's illness.

Employee: Yes, I am. Not knowing what is wrong is really frightening for us.

Supervisor: You are afraid of what might happen to her.

Employee: She has been in and out of the hospital but nothing seems to help her. She gets better, the doctor releases her; and within a week she's back in the hospital.

Supervisor: That must really be hard on you and you're afraid she won't get better.

Employee: Yes, it is hard; and trying to take care of the house and the kids only adds to the strain.

Supervisor: You must feel really overwhelmed with responsibilities.

Employee: I am. When I come home from work, it is off to the hospital, after a brief hello to the kids. I leave the hospital, and get home just in time to spend some time with the children.

Supervisor: I imagine that must be an exhausting schedule.

Employee: I have a sitter to look after the kids and take care of the house but I feel it is important that I also spend time with them.

Supervisor: It is important to you to maintain a family life for the kids during this situation.

Employee: I'm really concerned for my wife but also for the children.

Supervisor: Although you want your wife to get well, your children are really important to you.

Employee: I spend so much time away from them now that it is important to attempt to maintain some sense of family.

Active Listening Dialogue II, Cont.

Supervisor: You care a lot for your children and feel a sense of family is important.

Employee: Yes, I do. It seems I hardly have a chance to catch my breath before something else requires my attention.

Supervisor: You are under a lot of pressure and I can understand that you are often exhausted.

Employee: I know this has affected my work and ability to get here on time.

Supervisor: You feel responsible to your work and a sense of committment in doing it.

Employee: But not only is all the pressure tiring, when I do get to bed I have difficulty falling asleep. Often I don't get to sleep until four or five in the morning.

Supervisor: All of these pressures are effecting your ability to sleep at night.

Employee: I spoke to a doctor recently and he has prescribed something to help me relax at bedtime.

Supervisor: You are aware of having problems relaxing and have asked your doctor for assistance with resolving it.

Employee: Hopefully, if the medication helps, coming to work late will become less of a problem.

INSTRUCTIONAL RESOURCES:

Selected:

B. Several exercises from University Associates may be helpful here.

1. Another drill on "Not Listening," from the Handbook of Structured Experiences for Human Relations Training, Volume III, No. 52, pp. 12-13. By J. William Pfeiffer and John E. Jones (University Associates Press, 1971).

2. Two articles on leadership, both from the Annual Handbooks for Group Facilitators, John E. Jones and J. William Pfeiffer, Editors. University Associates Publishers, La Jolla, Calif.

   a. "LEAD (Leadership: Employee Orientation and Differentiation) Questionnaire", 1973, pp. 95-102.

   b. "Leadership Characteristics: Examining Values in Personnel Selection," 1974, pp. 13-17.

INSTRUCTIONAL RESOURCES:

Selected:

C. Future Reference Articles: The following is a list taken from the Future Reference Portion of Lesson Five, Section 1, in the student manual, Supervisory Management in the Water/Wastewater Field, Michigan State University, 1977. This list of articles has been included for your additional information.

Binney, Mel C. & Regadanz, Bruce E., "Proper Strategies for Upgrading Employee Performance," Journal, American Water Works Association, January 1973, pp. 50-56.

Burke, George W. Jr., "Estimating Personnel Needs for Wastewater Treatment Plants," Journal, Water Pollution Control Federation, Vol. 48, No. 2, February 1976, pp. 241-255.

Casteel, Stephen C., "Training Can Be Successful," Water and Sewage Works, October 1971, pp. 332-334.

Coleman, James L., Jr. and Greene, William L., "Recruiting Professionals in a Dynamic Environment," Journal, American Water Works Association, December 1970, pp. 765-768.

Dyer, Garvin H. and Becker, Elmer W., "Recruiting and Holding Good Employees: Employee Grievance Procedures," Journal, American Water Works Association, August 1970, pp. 465-467.

Longino, C.F., Jr., Green, C. S., III, Kauffman, C.F., "Sewage Treatment or Pollution Control--Trainees View Their Jobs," Journal, WCPF , January 1972, pp. 41-46.

METHOD OF EVALUATION:

Written test, as located on page 319 in the student manual. However, the test is not to be completed until Session 2 of this module is finished.

PERFORMANCE-ORIENTED WORKSHEET
MODULE FIVE, SESSION 2

CURRICULUM: Water Quality Control Program

COURSE: Supervisory Management in the Water/Wastewater Field

SUBJECT MATTER: Managerial Principles

MODULE FIVE: Staffing

Session 2 of 2: Supervisory Expertise in Employee Performance Appraisal

Estimated Time for this Session: Three Classroom Hours

Prerequisites for this Session: Familiarity with content of Lesson Five, Section 2, in the student manual

PERFORMANCE OBJECTIVE: (3 Parts)

ACTION/TERMINAL BEHAVIOR: The learner will identify factors which may signal generally low employee appraisals. The learner will identify the importance of communication, timing, and certain appraisal forms in the employee appraisal. The learner will list a series of steps to take determining the existence, extent and solution of a performance problem.

CONDITIONS: The learner will be provided with a situation in which an employee is performing below expectations.

ACCEPTABLE PERFORMANCE: The learner will identify four factors which may signal low employee appraisals in general in one or two sentences each (or list the items). The learner will identify the importance of communication, timing and certain appraisal forms in one to five sentences each. The learner will list a series of four steps, each with at least two options, in analyzing performance. The learner will apply employee appraisal techniques in solving the problem of an employee who falls below expectations.

JUSTIFICATION OF OBJECTIVE: Employee appraisal is essential in that the employee needs to know how his or her performance on the job ranks in relationship to expectations. The manager is responsible for instigating and maintaining an accurate employee appraisal system.

INSTRUCTIONAL ACTIVITIES

Instructor Activity:

1. Preparation includes familiarity with content of Chapter 14 in the textbook and Section 2 of Lesson Five in the student manual.
2. Instructor may initiate discussion with a list of reasons (provided by class members) why employee appraisal is difficult or not always accomplished successfully.
3. Instructor may generate explanations of the importance of the following aspects involved in employee appraisal.
    a. communication;
    b. timing;
    c. certain appraisal forms.
4. Pass out "What a Manager Should Know about Self-Appraisal" (See Instructional Resources) and have class complete checklist, then go through and discuss each point, including background on reasons why a manager needs self-appraisal.
5. Go through series of steps on determining performance problems (See student manual, page 333, reprinted here in Instructional Resources). Draw steps with decision steps on blackboard if available.
6. Try exercise in class which involves positive feedback. (See Instructional Resources.)
7. Have class members role-play employee appraisal interviews, stressing aspects which lead to better appraisal interviews.
8. Summarize points of class lecture and discussion.

Learner Activity:

1. Participate in all class discussion, with questions, thoughtful comments and prior experiences.
2. Work through the Manager's Self-Appraisal checklist as instructed.
3. Participate in role-plays involving positive feedback and appraisal interviews.
4. Take Mini-Review as found in student manual for Section 2, Lesson 5, when module is completed. Finish all assigned readings prior to taking quiz. Complete examination section for Lesson Five, when instructed to do so.

INSTRUCTIONAL RESOURCES:

Selected:

A. Checklist and Instructor's Guide for class discussion on "What a Manager Should Know About Self-Appraisal".

What a Manager Should Know About Self-Appraisal*

Instructor's Discussion Guide:

I. Are you a good manager? Are you as competent as you could be?

   A. Where do you stand right now?

   B. Do managers need ego boosts from being a manager?

II. Pitfalls that a manager should be aware of

   A. An ego drive not held in check

   B. Over-confidence and/or self-adultation

   C. A false sense of security

III. Self-Appraisal Requirements

   A. Bluntness

   B. Being 'hard-nosed'

   C. Honesty with self and self-inspection

IV. Benefits of Self-Appraisal

   A. Uplifting and enlightening

   B. Provides peace of mind

   C. Used to spot weakness

   D. First step of improvement

   E. Eliminates road blocks to your future

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*Based on Seminars held at the Metro Waste Control Commission, St. Paul, Mn., Spring, 1976.

Manager Self-Appraisal, cont.

Rate your contribution in each of the areas listed below:

	Not so hot		So-So	Tremendous	
	1	2	3	4	5
1. Your contribution to your utility or place of employment					
2. Your skill as a planner					
3. Your rating as a person					
4. Your spark-ability					
5. Your educational growth					
6. Your score as an innovator					
7. Your mastery of time					
8. Your problem-solving and decision-making process					
9. Your ability to get through to people					
10. Your skill at defining objectives					
11. Your effectiveness as a motivator					
12. Your success at building subordinates					
13. Your rating as a delegator					
14. Your skill as an appraiser					
15. Your staying power					

Manager Self-Appraisal, cont.

ANALYSIS OF QUESTIONNAIRE:

1. Your contribution to your utility or place of employment:

   A. What did you do during the past year to improve the operations, personnel problems or morale in general?

   B. What have you done to have a cleaner plant or to eliminate waste, sick leaves, overtime and equipment breakdown?

   OPERATION SOUL SEARCH: How much of these efforts, if any, were taken on your own initiative. This is of particular importance.

2. Your skill as a planner:

   As a truly effective manager you should have a clear view of both short and long-term objectives. Your understanding of the job is equally clear. You should know how to relate work factors to company objectives with skill and perception.

   To the expert planner, a project is like a jigsaw puzzle, with the frame being the profit objective. Inside, the puzzle's 'pieces'--the people, the methods, the facilities are all properly attuned to fit into the profit objective.

   The expert planner weighs alternative courses of action with the profit objective in mind. As the plan shapes up, he starts the project moving. He builds in provisions and controls along the way to keep it moving. He anticipates roadblocks he is likely to encounter and takes positive action to either eliminate or skirt them.

   OPERATION SOUL SEARCH: How thorough are you in formulating your plan and then following through on its implementation? Do you review progress periodically to make sure that action ties in with intention? Do you wade into difficult and unpleasant tasks without putting them off?

3. Your rating as a person:

   If I had to pick the single most important ingredient of success, I would select human relations--treating people with the same courtesy, consideration and respect that you would hope to receive from them.

   Experience repeatedly bears out that you must really care about people to get them to perform at their best. You have to show that your concern is on a more-than-superficial basis.

The more you care about him, the more he will care about you. Get to know your employees' problems, his needs, his home life and his special interests.

Another vital factor in the manager's role is the achievement of mutual understanding within the group. It is simply a matter of leveling with your people and encouraging them to level with you.

Misunderstandings remain misunderstandings only as long as they are kept hidden. Out in the open, they quickly dissolve.

> OPERATION SOUL SEARCH: Are your employees genuinely convinced that you are personally interested in their well-being? Do you judge people on their ability and performance rather than on personality traits? How often do you visit with your people on an informal, person-to-person basis? Do your people get a real charge out of working with your group?

4. Your spark-ability:

Your own enthusiasm is the best emotional lubricant for others. Enthusiasm sells people, products, services, ideas. Enthusiasm breeds self-confidence in you and helps you trigger the confidence of others.

> Operation Soul Search: In discussing projects and ideas with your subordinates, do you hammer across your absolute conviction that the goal can and will be achieved? How well do you infect others with your own enthusiasm? How well do you succeed in concealing irritable, under-the-weather feelings when they occur?

5. Your educational growth:

Education should not be a destination, but a road traveled all the days of our lives.

Tomorrow's manager will have to prepare for changes which will occur as never before. To operate effectively he will have to gear himself to the dynamics of communications, transportation and technology and to the emerging new techniques in the management of human resources as well. Tomorrow's manager will require a PE Degree--Perceptual Education.

Generally, there is no manager in any echelon, in any age bracket, in any favored post who can afford to consider his training complete.

Manager Self-Appraisal, cont.

OPERATION SOUL SEARCH: What positive steps have you taken recently to upgrade your knowledge? How often do you speak with executives and department heads in sections removed from you own? What do you know of their problems, their objectives, their language? How much of an effort do you make, not only to upgrade your specialist skills, but to acquire generalist skills as well?

6. Your score as an innovator:

It is essential for the manager of today and tomorrow to adjust to change. It is equally essential for him to pioneer change. The manager who pioneers change will lead the way and lead the competition. It implies a healthy dose of courage. You have to be prepared to take some well-measured risks when opportunities are in the offing. You have to instill this same innovative philosophy in your subordinates. How?

By urging and inspiring new ideas. By encouraging and rewarding those of your people who come up with better ways to do their jobs. It also means milking the maximum value out of every promising idea.

OPERATION SOUL SEARCH: How many suggestions for improvement have your people presented to you within the last six months? Can you recall sidestepping an opportunity you believed in because you feared the consequences of being wrong? Do you make every reasonable effort to solve a problem on your own?

7. Your mastery of time:

When it comes to evaluating yourself, the chances are that you do not see things quite so clearly. There are very few of us, however, who cannot make some time-saving improvements in our work methods. The higher you climb, the more each minute of your time--and your boss will be worth.

As you schedule priorities, therefore, here are two key factors to keep in mind: 1) Your objectives in the order of their importance; and 2) Your personal project preferences as they tie in with your boss' preferences. What is most important to him should be most important to you as well.

OPERATION SOUL SEARCH: Do you set specific deadlines for projects and goals? Are you strict with yourself and your people in meeting deadlines? Do you make it a point to be punctual for meetings and appointments? Do you pay the same respect and consideration to other people's time that you pay to your own? Do you provide, during every working day, an ample cushion of time for creative thinking and reflection with self-improvement in mind?

8. Your problem-solving and decision-making process:

You will at least in part agree that a manager grows in proportion to his problem-solving and decision-making ability. The trick is to decide as promptly as you can, but never hastily.

Gather your facts and digest them. Put all the bits and pieces together. Fill in the gaps to form a complete picture. Compare the alternatives and pinpoint the course of action that seems best.

When confronted with two courses of action, jot down on a piece of paper all the arguments in favor of each one--then on the opposite side write the arguments against each one. Then, by weighing the arguments pro and con and canceling them out, one against the other, take the course indicated by what remains.

> OPERATION SOUL SEARCH: In deciding, do you try whenever possible to supplement your own judgment and experience with the judgment and experience of others? Do you keep company policies and objectives in mind? Do you try to accompany it with action recommendations, realizing that even an imperfect solution will serve as a thought-starter to shortcut the final resolution?

9. Your ability to get through people:

Misunderstanding is a powerful obstacle in the path of achievement.

You mean one thing; your subordinate thinks you mean another. You fail to explain a newly announced policy; your subordinate applies his own twisted interpretation. You spell out an assignment, but you do not clearly define the measure of authority that goes with it. It is a question of awareness, of recognizing how vitally important it is to get through to your people and help them get through to you.

Take great pains to ascertain that instructions are clearly understood, duties properly defined, company actions and decisions satisfactorily explained whenever possible.

> OPERATION SOUL SEARCH: Do you encourage questions when you communicate? Do you take positive steps to upgrade your speaking? Writing and listening skills? Do you and your boss see eye-to-eye on what he wants and what you are giving him? When it comes to systems and personnel changes, how often are your people tipped off by the grapevine instead of by you?

10. Your skill at defining objectives:

Believe objectives that are important should be set down clearly and simply in writing; they should be kept up-to-date as changes take place, and new decisions are made.

Objectives should be defined in terms of quality and quantity, with time and cost factors in mind. They should be related wherever possible to the broad-range goals of the company.

In other words, the objectives that serve best are the ones that are believed in the most. The most meaningful objectives are the ones that are arrived at jointly, with the subordinate as well as his boss getting into the act.

There is a pitfall to avoid; that is excessive rigidity in the setting of goals and in the setting of deadlines.

Our times are too dynamic for a manager to be bound by rigidity of either date-setting or goal-setting. Conditions change from day to day. As they change, objectives must be modified to keep in tune with new concepts, new methods and new requirements.

> OPERATION SOUL SEARCH: Do you impose goals upon your people without first trying to convince them that they are definitely achievable? Do you do your best to steer clear of unrealistic goals? Do you make every effort to relate company objectives to individual objectives? Do you define important objectives clearly succinctly and in writing?

11. Your effectiveness as a motivator:

It is motive alone that gives character to the actions of men. With this in mind, a perceptive manager can often stir up a motive to add tang to an otherwise tasteless stew.

The idea is to get your subordinate personally involved. This will help you stir his interest. Play up the importance of the task and his importance to successful fulfillment. The words, "John, I wouldn't entrust this job to anyone but you" can do much to swell a man's ego.

Whenever possible, tie the work objectives to the personal career objectives of the individual.

> OPERATION SOUL SEARCH: When you assign tasks, do you spell out the whys and wherefores? Do you explain how small jobs tie into broad-range goals? Do you make a conscious effort to tailor work incentives to the varying desires, preferences and ambitions of each one of your people?

Manager Self-Appraisal, cont.

12. Your success at building subordinates:

I am never too much impressed when I see a manager whipping himself up into a storm of activity. It is when he triggers such actions on the part of his subordinates that he earns my admiration.

As you well know, a manager achieves results mainly through his people. Before expecting your people to produce results, you must first qualify them to produce results.

This presupposes proper selection. Pick the wrong man for the job and half your development efforts will go down the drain. Pick the right man and the results will match your development program.

I think one of the most critical requirements is for a manager to develop his people with sensitivity and perception.

Your people depend on you for so much; their futures are in your hands.

Your role as a manager? It is mostly that of counselor and guide. Train your people to use the best talents they possess as profitably as they can. When your man is ready, relinquish the controls.

> OPERATION SOUL SEARCH: Do you have a successor being developed from every key job, including your own? How well would your operation function if you were not on hand for three or four weeks? Do you show sufficient faith in your people--once they are trained--to give them the chance to percolate on their own?

13. Your rating as a delegator:

No executive just grows, he delegates himself into growth.

The key--to find the man who viewed the assignment as an opportunity and not as a workload. It is a strategy to keep in mind when delegating work. Presenting the task as a career stepping-stone is an ideal way to get a subordinate personally involved in, and committed to, an assignment.

In delegating work, your best bet is to transfer the job itself and not necessarily the procedure. Tactics that work well for you may turn out second-best for another man. In the final analysis it is the results that count.

> OPERATION SOUL SEARCH: Do you delegate as much work as you should? Do you follow up on delegated tasks with performance and results--not modus operandi--primarily in mind? Do you make every effort to qualify your people to the maximum degree, yet keeping in mind

that mistakes are bound to occur from time to time since they are a vital part of the learning process?

14. Your skill as an appraiser:

We have to keep score in business just as we do in golf, baseball or football. Standards, objectives and goals are as important in one as in the other. The most desirable objectives are those that permit constant measurement by an executive himself and review by his superior.

An executive constantly "keeps score" in his mind. But, unless appraisal is conducted on a planned and systematic basis, the process is apt to be unscientific and unreliable.

A continuing dialogue between you and your people will help you spot obstacles and clear the air of misunderstanding. Experience proves that without such feedback, projects bog down. Unaired gripes tend to fester into program-defeating bitterness.

It gives you the assurance that the implementation of your plans is in line with your intentions. And, it helps you pinpoint imperfections in your goals, standards and deadlines which help you make realistic adjustments before the imperfections can degenerate into goal-defeating roadblocks.

> OPERATION SOUL SEARCH: How often do serious misunderstandings occur between you and your people? Do you periodically review performance during the course as well as at its end? Do you honestly believe your appraisal program is responsible for continuing self-improvement in your department?

15. Your staying power:

This quality is one of the most vital ingredients of manager success. I am always leery of the manager who is ready to back down from a problem or project at the sight of the first really tough obstacle he encounters. Win or lose, everyone likes to put money on the man who stays in their punching until the final bell.

The manager who sizes up a task with completion in mind has a great advantage over the person who finds almost every task difficult, and every difficult task impossible.

It is this difference that distinguishes the outstanding leader of industry from the run-of-the-mill manager.

OPERATION SOUL SEARCH: Do you always manage to stay rational, calm and objective when the going is rough, and when the opposition is both fierce and unreasonable? How often, by virtue of your positive attitude, are you able to convert the skepticism of others to optimism? For this trait, mind you, is the mark of a real leader.

INSTRUCTIONAL RESOURCES

Selected:

B. Analysis sheet on Performance Problems as seen in the student manual, page 333.

- First, ask yourself if there REALLY is a performance problem.

  a. Maybe not. Perhaps you just expected way over and above because Joe (or Janet or Steve...) is a highly capable employee. They might be meeting that job description and not even realize you expected so much more.

  -or-

  b. Yes, there is. Performance is definitely below expectations.

- Second, ask yourself if this is due to training or performance.

  a. Might be training. Perhaps Joe (or Janet or Steve...) does not really KNOW how to accomplish that job. Have you determined that they really know HOW to do it? If not, then this is where you start. (They may not even know WHAT exactly the task involves.)

  -or-

  b. No, it is not a training problem--you have determined that much. So, if they know what to do, and how to do it, then your next task is to figure out WHY they are not doing it.

- Third, ask yourself what reasons might be underlying this problem.

  a. Are all tools, equipment and accompanying needs being met? (Can't expect them to come through if those vital tools are not there. Remember, time is also a resource, too.)

  b. What rewards are being offered for the completed job? (Doesn't have to be monetary, but could easily meet those higher needs of esteem or self-fulfillment.) Perhaps you are rewarding that LACK of completion (do you notice only the laggards, and forget to compliment the completed ones?).

  c. Does the employee see the reason for the job? Does this reason help the utility? The employee? (Preferably both.)

- Fourth, what is to be done about the situation?

  a. If any aspects, based on the above questions, are lacking--then you know where to start. If none of the above aspects appear to lead to the problem, then perhaps the employee has some personal problem interfering with their work.

  b. Point out their options:

     1. Overcome that obstacle to their work and accomplish the tasks successfully.
     2. Transfer or move into another job area more suitable to them.
     3. Terminate.

INSTRUCTIONAL RESOURCES:

Selected:

C. Providing Positive Feedback.

This exercise may also reflect upon several other modules and provide a review of prior content. The Instructor may provide any variations which are desired.

Basically, the participants are divided into pairs. Each person is given five minutes to tell the other person what he or she likes or admires about the other person. Stress making the compliments or positive comments as detailed as possible. After each person has had a turn at giving and receiving the positive feedback, initiate a class discussion on the difficulties involved, and the reaction from the individuals.

List class suggestions on how to provide this positive feedback on the job.

Including ways to note aspects upon which to provide the feedback, ways to phrase the feedback to that both the giver and the receiver are as comfortable as possible, and reasons why this should be done.

INSTRUCTIONAL RESOURCES:

Selected:

D. Future Reference Articles: The following is a list taken from the Future Reference Portion of Lesson Five, Section 2, in the student manual, Supervisory Management in the Water/Wastewater Field, Michigan State University, 1977. This list of articles has been included for your additional information.

Davis, Keith, Human Behavior at Work, Fourth Edition, McGraw Hill Book Company, New York, 1972.

Dyer, Garvin, "1974 Survey of Water Utilities Salaries, Wages, and Employee Benefits," Journal, American Water Works Association, Vol. 67, No. 5, May 1975, pp. 209-214.

Erickson, Claud R., "Better Salaries for Better Employees," Journal, American Water Works Association, January 1973, pp. 44-47.

Kazimer, Leonard J., Principles of Management, A Programmed-Instructional Approach, New York, McGraw Hill Book Company, 1974, pp. 228-261.

Sims, Daniel A., "Employee Benefit Trends," Journal, American Water Works Association, April 1972, pp. 207-210.

Voegtle, John A., "Career Development Guide for Wastewater Facility Personnel," Deeds and Data, 1973.

Voegtle, John A. and Vilen, Frank I., "A New Concept for Operator Wages," Journal WPCF, February 1973, pp. 203-209.

METHOD OF EVALUATION

The written test, which follows Section 2 of Lesson Five, pertains to all material in Lesson Five. First, a copy of the test portion as it appears in the student manual is included here. Second, answer keys are provided for the Objective Portion, and guidelines are included for the Subjective Portion of this fifth test.

Lesson Five
Objective Test
Keep this page in your book

OBJECTIVE TEST: LESSON FIVE

(place answers on the sheet preceding these questions)

1. One problem with employee appraisals is that the language used is often too vague.

   a. True
   b. False

2. Because wages and salaries are usually beyond the control of the middle manager or supervisor, this is one aspect where the supervisor should maintain a 'hands off' policy of noninvolvement.

   a. True
   b. False

3. The supervisor should not review the applicant's background until after the interview so erroneous impressions will not be carried on from a past, disagreeable experience in the applicant's background.

   a. True
   b. False

4. A question such as "What do you feel about this idea?" would typically be used in what type of interview?

   a. directive
   b. nondirective
   c. employment
   d. appraisal

5. Fringe benefits cost the employer about __________ percent over wages and salaries.

   a. 10
   b. 20
   c. 30
   d. 40

6. The majority of employees have indicated that they desire a formal appraisal of their work performance.

   a. True
   b. False

COPY OF TEST FROM THE STUDENT MANUAL

Lesson Five
Objective Test
Keep this page in your book

7. Appropriate wage schedules may be determined through ______________.

   a. high management
   b. employee surveys
   c. job evaluations of various factors upon which appropriate wages are based
   d. supervisor decision-making powers

8. ______________________ is a 'pitfall' to avoid in evaluating applicants where the interviewer assumes that a mannerism or trait noticed during the interview (such as 'shifty eyes') is a constant or typical trait of the applicant.

   a. the halo effect
   b. overgeneralization
   c. comparison with current employees
   d. excessive qualifications

9. A written statement of required knowledge, skills, and attributes is termed a job ____________________.

   a. description
   b. specification
   c. evaluation
   d. interview

10. Asking the applicant if a cup of coffee is desired or starting a conversation on a general subject such as the weather are ways of relieving interview tension and ________________.

   a. collecting all pertinent data about the interviewee
   b. putting the person at ease
   c. making a powerful impression upon the interviewee
   d. making certain the employee understands the job being filled

11. Temporary placement of a qualified employee for whom no job is currently available for their particular skills is considered ________________.

   a. wise, since the manager maintains a group of capable employees to draw from when openings occur.
   b. unwise, since the person often becomes discouraged and disillusioned.
   c. sensible, since the organization then gains the loyalty of the employee over a longer period of time.
   d. the only course of action since that employee may be hired by a competing organization otherwise.

COPY OF TEST FROM STUDENT MANUAL

Lesson Five
Objective Test
Keep this page in your book

12. Salaries within an organization or utility are not equally distributed. This is termed poor ______________.

    a. job specification
    b. internal wage alignment
    c. job description
    d. internal employee evaluation

13. When the interviewer knows in advance that facts will be discussed in the interview, it is termed a ________________ interview.

    a. counseling
    b. nondirective
    c. directive
    d. performance

14. Another term often used for the performance appraisal is merit rating.

    a. True
    b. False

15. The employment interview should be ______________________.

    a. one-sided, with the supervisor doing the questioning.
    b. one-sided, with the applicant doing the questioning.
    c. two-sided, with both asking questions relating to the applicant and the job.
    d. two-sided, in that the supervisor describes the job and questions the applicant.

SUBJECTIVE PORTION, PART I.

PART I. Wilbur never did solve the problem of the employee, Harry Deering, back at the Deephaven utility. Analyze the situation concerning Harry. Use the Management Systems Approach, as you have on prior lessons. Conclude with recommendations on what Wilbur should have done about the Harry Deering situation.

Use the remainder of this sheet and additional pages if needed.

When you have completed Part I, go right to Part II, which is another portion of the Supervisory Management Audit.

SUBJECTIVE PORTION, PART II (Continued)
Audit, Continued

E. DIRECTING

1. Do all directives or orders come only from you as the supervisor?
2. Are all of your directives
   a. reasonable in terms of being able to accomplish the task?
   b. understood by the subordinate?
   c. issued in appropriate tone and words to stimulate willing and enthusiastic acceptance?
   d. compatible (consistent) with the purposes and objectives of the organization?
   e. specific with regard to the time limit to complete the task?
3. Do you generally choose autocratic, close supervision under direct, clear, and precise orders to subordinates with detailed instructions?
4. Do you generally consult with the employee concerning a problem before making a decision and issuing a directive.
5. Do you allow the employee to work out the details of an assigned task?
6. Are the reasons behind your directives explained to your subordinates?
7. Do you help your subordinates understand the need and impact of change before the change is implemented?
8. Do subordinates share in the decisions involved in implementing change?
9. Are you alert to the factors influencing morale:
   a. external (sickness in the family, hobbies, etc.)?
   b. internal (job security, appreciation for a job well done)?
10. Are your subordinates reminded of how significantly they contribute to overall objectives?
11. Do you generally act toward your employees as a leader who has the situation well in hand and can rely upon employees to help correct the situation if something goes wrong?
12. Do you attempt to measure morale through:
    a. observation (levels of productive efficiency, tardiness and absenteeism, accident and safety records, etc.)?

SUBJECTIVE PORTION, PART II (Continued)
Audit, Continued

b. morale and attitude surveys?

13. Are new rules introduced with an explanation to subordinates as to what is expected of them and why the rules are needed?

14. Do you follow the rules that you expect subordinates are to observe?

15. Is your disciplinary action taken with sensitivity and sound judgement?

16. Is a thorough investigation conducted before taking disciplinary action?

17. Is disciplinary action taken in private with the employee involved?

18. Do you in general utilize the idea of progressive disciplinary action as follows:

    a. informal talk

    b. oral warning or reprimand

    c. written or official warning

    d. disciplinary layoff

    e. demotion

    f. discharge

19. In taking disciplinary action, do you follow the "hot stove rule", attempting to begin the disciplinary process as soon as you notice the violation, warn subordinates in advance of the consequences of violations, applying discipline consistently and impersonally?

20. Does each subordinate have the right to appeal disciplinary action?

F. CONTROLLING

1. Are controls available to assist in correcting deviations from established standards as soon as possible so as to minimize the time lag between results and corrective action?

2. Do you have enough familiarity with the jobs of your subordinates to determine which jobs should be observed daily, weekly, monthly, etc.?

3. Are the controls that are utilized economical and adequate for the jobs under your responsibility?

SUBJECTIVE PORTION, PART II (Continued)
Audit, Continued

4. Are the controls utilized flexible to adjustment if warranted?

5. Do you follow the three basic steps essential for control?

    a. set standards for measuring performance?

    b. checking on performance versus standards or goals?

    c. take corrective action for variations from standards?

6. Is a budget used in your control process?

7. Do you participate in making the budget for your group?

8. Is there some flexibility in the budget through regular budget reviews?

OBJECTIVE TEST: LESSON FIVE

Master Answer Sheet

1. One problem with employee appraisals is that the language used is often too vague.

    a. True
    b. False

(The answer is A, "True." See manual, page 330.)

2. Because wages and salaries are usually beyond the control of the middle manager or supervisor, this is one aspect where the supervisor should maintain a 'hands off' policy of noninvolvement.

    a. True
    b. False

(The answer is B, "False." See text, page 238.)

3. The supervisor should not review the applicant's background until after the interview so erroneous impressions will not be carried on from a past, disagreeable experience in the applicant's background.

    a. True
    b. False

(The answer is B, "False." See text, page 210.)

4. A question such as "what do you feel about this idea?" would typically be used in what type of interview?

    a. directive
    b. nondirective
    c. employment
    d. appraisal

(The answer is B, "nondirective." See manual, page 310.)

5. Fringe benefits cost the company about ____ percent over wages and salaries.

    a. 10
    b. 20
    c. 30
    d. 40

(The answer is C, "30." See text, page 238, in the footnote.)

6. The majority of employees have indicated that they desire a formal appraisal of their work performance.

   a. True
   b. False

(The answer is A, "True". See manual, page 329.)

7. Appropriate wage schedules may be determined through ___________________.

   a. high management
   b. employee surveys
   c. job evaluations of various factors upon which appropriate wages are based
   d. supervisor decision-making powers

(The answer is C, "job evaluations". See text, page 237.)

8. ______________________ is a 'pitfall' to avoid in evaluating applicants where the interviewer assumes that a mannerism or trait noticed during the interview (such as 'shifty eyes') is a constant or typical trait of the applicant.

   a. the halo effect
   b. overgeneralization
   c. comparison with current employees
   d. excessive qualifications

(The answer is B, "overgeneralization". See text, page 213.)

9. A written statement of required knowledge, skills, and attributes is termed a job _____________________.

   a. description
   b. specification
   c. evaluation
   d. interview

(The answer is B, "specification". See text, page 201.)

10. Asking the applicant if a cup of coffee is desired or starting a conversation on a general subject such as the weather are ways of relieving interview tension and _________________.

   a. collecting all pertinent data about the interviewee
   b. putting the person at ease
   c. making a powerful impression upon the interviewee
   d. making certain the employee understands the job being filled

(The answer is B, "put the person at ease". See text, page 211.)

11. Temporary placement of a qualified employee for whom no job is currently available for their particular skills is considered:

    a. wise, since the manager maintains a group of capable employees to draw from when openings occur.
    b. unwise, since the person often becomes discouraged and disillusioned.
    c. sensible, since the organization then gains the loyalty of the employee over a longer period of time.
    d. the only course of action since that employee may be hired by a competing organization otherwise.

(The answer is B, "unwise, since the person often becomes discouraged and disillusioned." See text, page 216.)

12. Salaries within an organization or utility are not equally distributed. This is termed poor ______________.

    a. job specification
    b. internal wage alignment
    c. job description
    d. internal employee evaluation

(The answer is B, "internal wage alignment." See text, page 237.)

13. When the interviewer knows in advance what facts will be discussed in the interview, it is termed a ______________ interview.

    a. counseling
    b. nondirective
    c. directive
    d. performance

(The answer is C, "directive." See text, page 206.)

14. Another term often used for the performance appraisal is merit rating.

    a. True
    b. False

(The answer is A, "True." See text, page 222.)

15. The employment interview should be:

    a. one-sided, with the supervisor doing the questioning.
    b. one-sided, with the applicant doing the questioning.
    c. two-sided, with both asking questions relating to the applicant and the job.
    d. two-sided in that the supervisor describes the job and questions the applicant.

(The answer is C, "two-sided ..." See text, page 211.)

I. Define Problem and Objectives

A. Problem: Wilbur has an employee, Harry Deering, who is constantly late for work, takes long lunch hours, and never stays overtime. Harry is a good worker and his productivity is above average. His social life with his co-workers is nil and generally Harry keeps to himself.

His reasons when confronted by Wilbur were:

1. "I am a professional. I am paid for the work I do, not the hours I keep.

2. "I am a professional and am paid for the work I accomplish."

B. Objectives: Seek a solution to Harry's tardiness. Find if there are problems which prevent him from getting to work on time. This is necessary since other employees are looking at Harry's tardiness as a sign of favoritism from the management.

1. Motivate employee to begin work on time, consistently and reliably.

2. Determine impact on other employees if late arrival is allowed.

II. Management Assumptions

A. Alternatives

1. Investigate possibility of disciplinary action for tardiness of exempt class employees.

2. Establish rules governing hours of work for exempt employees.

3. Conduct a meeting with tardy employee explaining "unprofessionalism" of arriving late, and the effect of his behavior on other departments and employees.

4. Do nothing. Considering the length of time that the situation has prevailed. It may set an enforceable precedent.

5. Change his hours of work.

6. Change other employees hours of work.

7. Get him to see his problem and the problem he is creating.

8. Put him back on hourly rate.
9. Place him on probation, or terminate his employment.

B. Criteria for Evaluation of Alternatives

1. The effect on organization efficiency.
2. The effect on employee morale exempt and non-exempt.
3. The effect on operating costs.
4. The effect on supervisor.
5. The effect on Harry's productivity.
6. The effect, if any, on operation and quality of plant.

III. Solution Development Approach

A. Review personal data from available records of Personnel Department.

B. Seek information from friends, doctor, subordinates to see how they feel about Harry's health and attitudes.

C. Review past appraisals and study the way he performed.

D. Interview Harry's immediate supervisor.

E. Conduct an informal appraisal discussion with Harry.

F. Determine feelings of exempt employees on regulation of hours by interview and post practices.

G. Investigate new methods of regulating time.

IV. Evaluation of Alternatives

A. Disciplinary Action

Should not be initiated until investigation of past practices indicates support of enforcement.

B. Establish time rules

Probably advisable. May alienate offending employee, but should not affect the work of a true professional.

C. Meeting with employees

Probably no more effective than previous encounters, but is a viable first course of action. Should be done regardless of any other action taken.

D. Do nothing

Will not solve problem or achieve objectives.

E. Change his hours of work

A compromise that other employees may define as catering to him. Leans toward favoritism and could decrease morale of all employees.

F. Change all other employees starting time

Burden supervisors with time-table changes and adjustements and this would increase cost of record keeping.

G. Get him to see his problems and the problems that he is creating.

This may be the most difficult alternative, but the one that should be implemented.

H. Put him on hourly rate

This demotion would be as a last resort. This would just be justice in that he would be paid for what he does. He would probably crawl into a shell and his production would drop.

I. Placing him on probation or discharging him would be too severe at this time. He is an above average employee with a long service record.

V. Recommendations

A. Conduct the meeting and advise the employee of your decision to enforce time rules in the near future for exempt class employees. Make known the reasons, i.e. morale, efficiency, etc., and point out the unprofessional example he has set previously by his habits of arriving late and leaving early. Relate the importance of a strong company policy against favoritism, even for exemplary work.

B. Contact higher management about establishment of time rules (or enforcement of existing ones). If established, or when established, implement as soon as possible and notify all employees well in advance of managements intention to enforce time rules in the future.

C. Make sure the rule is applied equally to all employees. Don't single out the subject just to make an example of him or to punish him for prior offenses. Be fair.

D. A suspension without pay would be Wilbur's next choice if the interviews do not convince Harry of the need to cooperate.

E. Termination should only be the last resort if Harry does not cooperate at all.

SUPERVISORY MANAGEMENT AUDIT COMMENTS

E. Directing

- "Yes" answers are critical to #2, #5, #7 and #17. "No" answers to any one or more of these questions indicates review and improvement are probably needed.
- Correct answers to #3 and #4 will depend on the particular situation and employees. Generally, #4 would be the recommended approach.
- "No" answers to more than five questions indicates review and improvement are probably needed.

F. Controlling

- "Yes" answers are critical to #2, #3, and #5. "No" answers to any one or more of these questions indicates review and improvement are probably needed.
- "No" answers to more than two questions indicates review and improvement are probably needed.

MODULE SIX

THE MANAGER'S RESPONSIBILITIES IN DIRECTING AND CONTROLLING

Session 1: The Manager and Directing

Assigned Text Reading: Chapters 15, 16, and 17

Session 2: The Manager and Controlling

Assigned Text Reading: Chapter 18

PERFORMANCE-ORIENTED WORKSHEET
MODULE SIX, SESSION 1

CURRICULUM: Water Quality Control Program

COURSE: Supervisory Management in the Water/Wastewater Field

SUBJECT MATTER: Managerial Principles

MODULE SIX: The Manager's Responsibilities in Directing and Controlling

Session 1 of 2: The Manager and Directing

Estimated Time for this Session: Three classroom hours

Prerequisites for this Session: Familiarity with content of Lesson Six, Section 1, in the student manaul

PERFORMANCE OBJECTIVE: (3 Parts)

ACTION/TERMINAL BEHAVIOR: The learner will identify two approaches (opposite in the extreme case) to supervisory direction, with accompanying pros and cons of each approach. The learner will list at least five important points to follow when giving directives. The learner will identify the rationale for providing the 'why' when instigating change. The learner will list three aspects which should NOT be neglected when involved with disciplinary action. The learner will identify three points involved with the 'hot stove rule' and apply those points to discipline.

CONDITIONS: The learner will be provided with the 'hot stove rule' as well as additional information as found in the student manual.

ACCEPTABLE PERFORMANCE: The learner will identify two opposite approaches to direction-giving, in one statement each, providing at least two possible and two negative aspects for each approach. The learner will list five points to follow in giving directives, in one sentence each. The learner will list three aspects which are not to be neglected when taking disciplinery action (which are not directly connected with the 'hot stove rule') and will list three points which ARE involved or may be drawn from the 'hot stove rule' analogy.

JUSTIFICATION OF OBJECTIVE: Directing is the fourth managerial function, and the supervisor must be proficient in giving directives in carrying out supervisory duties. Knowledge of techniques which make those directives clear, concise, and understood in a morale-boosting manner will make the manager's position easier and more pleasant for all.

INSTRUCTIONAL ACTIVITIES

Instructor Activity:

1. Preparation includes familiarity with the content of Chapters 15, 16, and 17, in the textbook and Section 1 of Lesson Six in the student manual.

2. Provide an overview of the two types of supervisory approaches: authoritarian versus consultative, general supervisory approach. These may be compared to the earlier discussion (See Module 2, Session 2, dealing with motivation and page 127 in the student manual of Lesson Two).

3. You may want to introduce a brief overview of Transactional Analysis at this point, since the more authoritarian approach usually comes from the Parent ego state, and often places the person receiving those orders or directives in a Child ego state. (See Instructional Resources.) The more consulting supervisory style, on the other hand, reflects the Adult ego state.

   Accompanying exercises to practice identification of ego states, and the use of stroking in providing positive encouragement to induce the person into the "I'm OK, You're OK" life position are also included.

4. Go over the aspects of order-giving. (See "Strategy of Giving Orders" in Instructional Resources.)

5. Stress the use of 'why' when giving directives or orders. Have class contribute to reasons for including 'why'.

6. Obtain class members ideas as to what constitutes 'positive' discipline. List the things to do (and NOT do) when disciplining. Explain the 'hot stove rule'.

7. Discuss purpose of leadership in directive-giving.

8. Review points brought out in class as well as those points from the lecture material. Have class members apply each point to their job or managerial style.

Learner Activity:

1. Participate in class discussion and provide personal contributions.

2. Work individually or in groups in completing the Transactional Analysis worksheets.

3. Apply points involving directives and discipline to job.

4. Take Mini-Review quiz as found in student manual for Lesson Six, Section 1. Complete assigned readings as instructed.

INSTRUCTIONAL RESOURCES:

Selected:

A. Overview of Transactional Analysis, as presented in the Metro Waste Control Commission seminar series, St. Paul, MN, Spring of 1976.

OVERVIEW OF TRANSACTIONAL ANALYSIS*

Every person has in his head his parent figures, though they may not be his actual parents. These form his Parent ego state. At times he acts, speaks, gestures, and thinks as they did. At other times he is influenced by their inner messages.

Every child is born with inherited characteristics, born into a specific social, economic, and emotional environment, and trained in certain ways by authority figures. Every child experiences significant events such as death in the family, illness, pain, accidents, geographical dislocation, and economic crisis. These influences contribute to the uniqueness of childhood for each person and form his Child ego state. No two children, even in the same family, have the same childhood.

Every person has an Adult ego state which if used can deal objectively with reality. The Adult ego state is not related to age but is influenced by education and experience. When it is activated, a person can collect and organize information, predict possible consequences of various actions and make conscious decisions. Even though a decision is made from the Adult, it is not necessarily accurate if information is lacking. However, using the Adult can help to minimize regrettable actions and can increase a person's potential for success.

You have three different ego states programmed with different behavior. Begin to be aware of when you are coming on Parent, Adult or Child. Awareness gives you more choice in your communication patterns and in setting your life goals.

Stroking is a term that is used to describe special recognition which is given by one person to another. This recognition may take the form of positive stroking (verbal, "I like you"; nonverbal, smiling or listening to what the person is saying); or negative stroking (verbal, "I really dislike that color on you"; nonverbal, glares or frowns).

Strokes may be also conditional, "If you all complete that report by noon, I will take you to lunch"; or nonconditional, "I like you just because you're you."

People who have received too many negative strokes in life are often found to have inferior feelings about themselves, and sometimes tend to act from their Child state which found that even spankings in their early years were preferable to no attention at all. This behavior in an older person might be reflected in the clown who always does silly things. These individuals as well as others, may improve considerably with an abundance of positive strokes.

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*Based on material from a seminar given at Metro Waste Control Commission, St. Paul, MN, Spring of 1976.

EGO STATE EXPRESSION

	PARENT		ADULT	CHILD	
INDICATORS	CRITICAL	NURTURING		ADAPTIVE	FREE/NATURAL
Tone of Voice	Exasperated, hypercritical, accusing.	Warm and Reassuring.	Modulated . . . never harsh.	Highly emotional.	Light . . . joyful.
Verbal Indicators	"No, I mean no!" "Stop it ... immediately."	"Let me help you." "Thank you."	"That's very interesting; can you tell me more?" "You're probably right..."	"I'll do as I please." "I hate you!"	"This is fun... just you and me."
Attitudes	Exaggerated sense of paternal importance.	Friendly, helpful and interested.	Very attentive and courteous.	Self-conscious but anxious to be noticed.	Warm and unassuming.
Facial Indicators	Frowning... obvious annoyance.	Smiling and pleasant.	Confident, eyes alight, alert.	Demands attention. Excitable ... quick to cry.	Self-assured and quick to laugh.
Gestures	Authoritive stance. Finger pointing.	Reaching out to help.	Completely relaxed...yet closely attentive to everything said or done.	Boisterous, nervous and ill-at-ease.	Uninhibited and friendly.

EGO STATE REACTION QUIZ

Identify each reaction to the situation as either Parent, Adult or Child, (P, A or C). There will be one of each in each situation. Naturally these will be educated guesses, since you can't hear the tone of voice or see the gestures.

1. A clerk loses an important letter.

   a) "Why can't you keep track of anything you're responsible for?" ____

   b) "Check each person who may have used it in the last two days and try to trace it. Perhaps Mrs. Smith can help you." ____

   c) "I can't solve your problems. I didn't take your old letter." ____

2. A piece of equipment breaks down.

   a) "See if a repairman can come this morning." ____

   b) "Wow! This machine is always breaking down. I'd like to throw it on the floor and jump on it." ____

   c) "Those operators are so careless. They should know better." ____

3. The boss is not satisfied with a letter his secretary wrote in reply to a memo from another department.

   a) "Golly, Mr. Smith, I read that memo three times and it's so bad I just can't figure it out. He must be a jerk." ____

   b) "I found that memo contradictory, Mr. Smith. I'd appreciate your telling me what you see as his main question." ____

   c) "We shouldn't have to answer this memo at all. That man clearly doesn't know what he's talking about." ____

4. Coffee break rumors report a co-worker is about to be transferred.

   a) "Boy, tell me more. I'd like to get something on George. He gives me a pain in the neck!" ____

   b) "Let's not spread a story that may not be true. If we have a question, let's ask the boss." ____

   c) "We really shouldn't talk about poor old George. He has so many troubles--financial, marital, you name it." ____

EGO STATE REACTION QUIZ, Cont.

5. The boss has had an important proposal rejected.

   a) "Poor Mr. Brown, you must feel terrible. I'll fix you a cup of tea to cheer you up." _____

   b) "You think you feel bad! Just listen to what happened to me!" _____

   c) "I'm sorry about the reversal, Mr. Brown. Let me know if there is anything you want me to do." _____

6. A buxom secretary appears on the job in a very tight sweater.

   a) "Wow, look at that!" _____

   b) "Tight sweaters should not be allowed in the office." _____

   c) "I wonder why she chose that to wear to work." _____

7. Someone unexpectedly gets a promotion.

   a) "Well, Mrs. White deserved it. After all, with all those children to feed, she needs that extra money. Poor thing." _____

   b) "Oh, brother! She got that for buttering up the higher-ups." _____

   c) "I thought I was more qualified for the promotion than Mrs. White. But maybe I haven't given her enough credit." _____

8. A reduction in personnel is announced.

   a) "What will I do if I'm laid off?" _____

   b) "This damn company isn't worth working for anyway." _____

   c) "I believe that all women should be fired first. They don't need the money. They're just taking jobs away from men." _____

EGO STATE REACTION QUIZ, Cont.

The following are the answers for the Ego State Reaction Quiz.

1. a) P
   b) A
   c) C

2. a) A
   b) C
   c) P

3. a) C
   b) A
   c) P

4. a) C
   b) A
   c) P

5. a) P
   b) C
   c) A

6. a) C
   b) P
   c) A

7. a) P
   b) C
   c) A

8. a) A
   b) C
   c) P

TRANSACTIONAL RESPONSES

Design possible ego state responses to these situations.

Situation 1

A co-worker comes to work bleary-eyed and tired.

Parent ____

____

____

Adult ____

____

____

Child ____

____

____

Situation 2

You are given a deadline to meet that is extremely demanding and difficult.

Parent ____

____

____

Adult ____

____

____

Child ____

____

____

TRANSACTIONAL RESPONSES, Cont.

Situation 3

Someone else has made an error and you are calling attention to it.

Parent ______________________________

____

____

Adult ______________________________

____

____

Child ______________________________

____

____

Situation 4

Now work in small groups to design important communication problems and situations in your particular organization. Then develop possible Parent, Adult, and Child responses to each of these situations. (You may wish to take each situation in turn and group participants in Group 1 - Parent, Group 2 - Adult, Group 3 - Child. Switch group ego status when you move on to the next situation.)

Situation

____

____

Possible ego state responses

Parent ______________________________

____

Adult ______________________________

____

Child ______________________________

____

PROVIDING STROKES

People in all areas need special recognition. List as many ways as you can think of to provide positive strokes to these people. List them by name, relationship or position.

AT HOME

AT WORK

IN SOCIAL CONTEXT

INSTRUCTIONAL RESOURCES:

Selected:

B. Order-giving need not be as authoritarian as the term implies. Look over this article, "Strategy of Giving Orders."

STRATEGY OF GIVING ORDERS*

Strategy in giving orders is nearly as important as strategy in criticizing. None of us enjoys taking orders from someone else; we do it because we are obliged to. We would take much greater interest and satisfaction in doing something if we felt that we were acting on our own ideas, carrying out our own plans, rather than somebody else's. There would be far greater incentive to do a thing as carefully and conscientiously as possible.

The wise manager of people is aware of these hidden wellsprings of human conduct and does his best to capitalize upon them to his own advantage--and that of his company.

WHAT AN EXECUTIVE SHOULD KNOW ABOUT THE KNACK OF GIVING ORDERS

This business of giving orders and issuing instructions applies to any leader--indeed to anyone who is responsible for the activities of anyone else. The principles of good "order-giving" apply even in family life.

What is not generally taken into consideration is that we--the order-givers--are undoubtedly responsible for too many of the "goofs" by our subordinates, just for the reason that we have never taken the trouble to study the art of giving orders and issuing instructions. Certainly this is one of the most important tools of our craft as managers of people.

Isn't it true that every manager spends a great deal of his or her working time telling other people what is to be done and when it should be done? Don't we frequently have to repeat or find that our instructions have been misinterpreted or ignored?

One of the peculiarities of us humans, when this sort of thing happens, is that we assume that the person who misunderstood or misapplied the instructions was not listening, or did not care, or was just plain stupid. When this has happened to you, did you ever look into yourself and see whether your instructions were given clearly and understandably?

We are always right! The order-receiver is always the one who is wrong. This is human nature. Too seldom do we look at ourselves and try to learn whether we have been giving our instructions in a way that the order-receiver can translate into his own understanding and his own frame of reference.

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*Based on material from a seminar given at Metro Waste Control Commission, St. Paul, MN, Spring of 1976.

STRATEGY OF GIVING ORDERS, Cont.

Why Give Orders?

Did you ever stop to consider why you give orders? Is it not true that giving orders and issuing instructions are among the principal tools of the profession of management? Are they not the primary tools of our principal job--to direct the work of others?

This phrase "to direct the work of others" has many implications that we sometimes forget when we are involved in the "heat of the battle". We want to get the maximum production of each subordinate within the limits of good personnel management; we must assure that the quality of the production measures up to the quantity. Then there is the element of time--and timing.

We have the proposition that if we are to be successful, our orders and instructions must be properly given.

It seems obvious that in any operation of any size your people must carry out your orders according to your instructions. This applies whether you are present or not, since you cannot always supervise every move.

Keys to Effective Order-Giving

Most experts on the subject agree that there are seven essential steps to effective order-giving. The seven essentials are planning, preparing, presenting, verification, action, follow-up and appraisal. Let's look at them one by one.

To most of us, the idea of stopping to make a plan before we issue any orders would sound a little silly. We do not think we have the time. Isn't it true, however, that for the great majority of the average orders we issue, we have already built up a plan which we automatically draw upon when we issue these routine orders and instructions?

We do have a plan. The planning factor varies with the complexity of the situation or the job to be accomplished. However, we know what we want done, how it is to be done, when and by whom. We have even established certain standards of performance.

The manner in which a proposition is presented to the employee is mighty important.

In more complicated situations, the matter of logistics must be taken into consideration. Material and men must be woven into the plan so that all will be at the right place at the right time. The "serving men", what, why, who, how and when, must all be considered and we must have given them enough consideration so that we are able to explain each in whatever detail developments may demand.

Planning is the foundation upon which any order should be based. Orders based on faulty or inadequate planning nearly always result in confusion, misinterpretation--and only too often--failure.

STRATEGY OF GIVING ORDERS, Cont.

Preparing the Order-Receiver

In the military, they call it "briefing". The order-receiver should always be completely briefed. The smart boss will explain why the task is necessary and what benefits are expected.

Asking subordinates is by no means a confession of weakness or ignorance--and these "specialists" may contribute suggestions which will save a great deal of lost motion and expense.

Because he has reason to feel that the plan is partly his, the subordinate is likely to strive that much harder for its success.

Time and time again failure to explain the why of relatively simple-appearing order, couched in the clearest terms may result in confusion and losses all out of proportion to an apparently simple matter.

In preparing the order-receiver to listen to instructions, we can never afford to assume that he fully understands the entire matter.

Presenting the Order

To say that an order should be stated clearly, simply and completely, is true enough. But most people do not give the matter enough thought to enable them to do this.

Assumptions are always dangerous and this is especially true when we assume that our order-receiver is fully familiar with reasoning, facts and the purpose of the matter at hand.

Differing backgrounds of experience, differing levels of intellegence and different types of education all affect the ability of the order-receiver to fully understand--no matter how much he wants to.

People understand only that with which they are familiar, and even the most brilliant may not be in tune with your particular vocabulary. State your order in terms that your order-receiver can understand and will accept.

Make sure that you have "covered all the bases". Some very able men find it useful to make an informal checklist for themselves to make certain that they have covered everything.

Verification

The job of giving the order is not quite complete with merely issuing it. Thus, you, the order-giver, must take extra pains to make certain that you are "penetrating". There is only one reliable way to accomplish this--through the "playback" system.

STRATEGY OF GIVING ORDERS, Cont.

This also helps greatly to ensure stricter attention. Obviously all of us will pay greater attention to what is being said if we know that we are going to be called upon to repeat the thoughts in our own words.

Action

Again, we would like to stress the point which has been made so many times, that "checkpoints" should be built into the instructions regarding any project.

Follow-Up

Follow-up of the progress is not a process of "nagging". Rather, it is a review of what has been accomplished which has been done--but how well it has been done.

Failure to follow-up can be disastrous. Even the best-intentioned and loyal workers can and do have their "off days". At least one executive paraphrased the motto on our United States coinage. He operates on the principle "In God we trust, all others we check up on". Even our best friends and most-trusted employees can make mistakes. If we wait until the job is finished, and the assignments are all completed before we start checking, we may well find we are facing a *fait accompli*.

Appraisal

It has been said there is not such thing in this world as "perfection". That is just another way of saying that no matter how good we may be, there is always room for improvement. Because we, as managers, are not only charged with getting the job done, but, as an integral part of our work to help our subordinates grow and develop in their jobs, an overall appraisal of the completed job must be made.

A mere pat on the back for a good job well done is only a passing bolstering of the man's ego. It does not develop him.

For purposes of developing the subordinate and getting a better job the next time around, it would seem essential that the executive have a detailed discussion with the man regarding his performance or accomplishment.

The executive should be careful to wash even the appearance of carping criticism from his thinking--and certainly from his conversation. At the very least the subordinate should receive full credit and recognition for those parts of the job with which the boss is pleased.

No one ever learned a great deal while under the influence of any strong emotion such as anger. Listening is usually far more productive instead of trying to think up a smart rebuttal.

STRATEGY OF GIVING ORDERS, Cont.

It should be remembered that the worker--whatever his status on the totem pole--is the man who went through the experiences. He was there, and since he is the one who went through the experiences, he probably knows better than anyone else what changes should be made in future operations of the same kind.

The supervisor should keep in mind the only way we can approach perfection is to:

1. Make sure the job was done satisfactorily.
2. Make sure the results have been explored with the man who performed the work to see what better methods, or procedures or materials might have been developed which can be used in the future. Can any steps, or time or motions be eliminated?
3. Make sure that both man and manager understand not only whether they have learned, but whether what they have learned can be applied in other instances.

Good performance is no accident. All hands have to work for it. Giving orders clearly, precisely and completely is not easy either.

Result of the Test

And so, friend, if you cannot or do not follow simple, clear instructions--don't be too tough on your people if they cannot always follow your own more complicated instructions.

The fact that the employee nods his head or seems to understand is by no means a guarantee that he "got" the instructions. Remember, it is your responsibility to see that the story gets through. You--as order-giver--you as a manager, are responsible for accomplishment.

Some bosses feel that asking their people to repeat instructions in their own words will offend them. We agree that this may be true the first time it is done--but if you do this as a regular policy, and when initiating the policy explain why, you'll have little or no trouble.

Orders are not necessarily "commands". Whatever the situation, it is always murder to talk down to people. This does not mean that we need to be soft. No manager can afford to get the reputation of being an easy mark. Sometimes a crisp, succinct command is essential. How to couch our language in each case should be based on our knowledge and understanding of the people involved.

In any event, we must keep in mind that the order-receiver is not always dumb, stupid, stolid, inattentive or disinterested. Only too often we, the order-givers, are a great deal less than perfect in the way we prepare the order and present it. To paraphrase the Bible, be sure you have cast the mote out of your own eye before you get too harsh in your judgment of others.

STRATEGY OF GIVING ORDERS, Cont.

The responsibility of the superior for the acts of his subordinates is absolute. There can be no half-measures, no argument; the superior's responsibility is full and complete. This is one of the basic principles of organization.

You must accept the fact that you and you alone--and you fully are the responsible one for seeing that your people receive the right orders, and it is also "your baby" to make sure that the orders are fully and correctly understood.

This is a responsibility you cannot escape.

INSTRUCTIONAL RESOURCES:

Selected:

C. Two articles and exercises found in the Annual Handbook for Group Facilitators, John E. Jones and J. William Pfeiffer, Editors, University Associates Publishers, La Jolla, California. The articles which relate to this Module are listed as follows:

1. "A Transactional Analysis Primer," 1973, pp. 145-157.
2. A series of two articles on leadership; both from the 1972 Handbook.
    a. "Group Leadership Questionnaire (GTQ-C)", pp. 91-106.
    b. "Nonresearch Uses of the Group Leadership Questionnaire (GTQ-C)", pp. 87-89.

INSTRUCTIONAL RESOURCES:

Selected:

D. Future Reference Articles: The following is a list taken from the Future Reference Portion of Lesson Six, Section 1, in the student manual, Supervisory Management in the Water/Wastewater Field, Michigan State University, 1977. This list of articles has been included for your additional information.

Caskey, C. C., "The Four Functions of Management, Journal, American Water Works Association, June 1972, pp. 361-366.

Corey, John B. W., "Getting the Employee Into Action Now," Journal, American Water Works Association, January 1973, pp. 39-41.

Davis, Keith, Human Behavior at Work, Fourth Edition, New York, McGraw-Hill Book Company, 1972, pp. 160-164, 165-172, 243-247, 132-133.

Dowd, Thomas F., Jr., "Employee Attitude Surveys: A Key Management Tool", Journal, American Water Works Association, January 1973, pp. 46-49.

Kazmier, Leonard J., Principles of Management, A Programmed Instructional Approach, Third Edition, McGraw-Hill Book Company, New York, 1974, p. 379.

METHOD OF EVALUATION:

Written test, as located on pages 405-419 in student manual. However, the test is not to be completed until Session 2 of this Module is finished.

PERFORMANCE-ORIENTED WORKSHEET
MODULE SIX, SESSION 2

CURRICULUM: Water Quality Control Program

COURSE: Supervisory Management in the Water/Wastewater Field

SUBJECT MATTER: Managerial Principles

MODULE SIX: The Manager's Responsibilities in Directing and Controlling

Session 2 of 2: The Manager and Controlling

Estimated Time for this Session: Three Classroom Hours

Prerequisites for this Session: Familiarity with content of Lesson Six, Section 2, in the student manaul

PERFORMANCE OBJECTIVE: (3 Parts)

ACTION/TERMINAL BEHAVIOR: The learner will list (according to the textbook) the requirements for the control system. The learner will identify the steps involved with the control process. The learner will list (as many as possible) specific questions which may be used as a checklist on management control.

CONDITIONS: The learner will be provided with a utility situation which requires managerial control points, and encouraged to identify equivalent control points in his or her own job.

ACCEPTABLE PERFORMANCE: The learner will list five requirements for a control system (according to the textbook), in one or two sentences each. The learner will identify the three steps of the control process. The learner will list specific questions which may be used as a checklist on the management control process and utilize this list in the improvement of managerial control.

INSTRUCTIONAL ACTIVITIES:

Instructor Activity:

1. Preparation includes familiarity with the content of Chapter 18 in the textbook and Section 2 of Lesson Six in the student manual.

2. Introduce the aspect of control by having the class identify the ways in which control may be checked in their jobs. The budget may be the first item mentioned, but it is hardly the only one. Have students identify their 'strategic control points' in their jobs.

3. Stress the circular aspect of control, which leads back to planning and goal-setting, as well as the future aspect in that control provides some basis for guiding the future.

4. Discuss the audit which the students have been taking through much of the course (Lesson Six in the student manual contains the final issue--that of Labor Relations. See Instructional Resources in this session for a complete copy of the Supervisory Management Audit, as it is found in the Appendix section of the student manual). See if students have additional check points which they feel should be included in the audit.

5. As another form of control, you may want to have the class look at itself as a group. Provide a brief lecture on what to look for in groups, then conduct an exercise such as "The Teetering Inferno" (See Instructional Resources) to have the group look at itself in the instructions.

6. Review the elements of control, emphasizing the need for check points.

Activity:

1. Participate in the class discussion and exercises as instructed. Thoughtfully contribute to the analysis of the Audit, in providing additional items to be checked.

2. Work with the rest of the group in the exercise involving group participation and group development.

3. Take the Mini-Review quiz as found in the student manual for Lesson Six, Section 2, when all assignments (including all readings) are completed. Complete the examination portion for Lesson Six when instructed to do so.

INSTRUCTIONAL RESOURCES:

Selected:

A. Copy of Supervisory Management Audit, as found in the Appendix portion of the student manual, pp. 487-497.

INSTRUCTIONAL RESOURCES:

Selected:

B. A series of articles and exercises from University Associates which relate to groups, and analysis of group activity. Here are four items on groups and the analysis of groups. All are to be located in the Annual Handbooks for Group Facilitators, John E. Jones and J. William Pfeiffer, Editors, University Associates Publishers, La Jolla, California.

1. "What to Look for in Groups: An Observation Guide," 1972, pp. 19-24.
2. "Cog's Ladder: A Model of Group Development," 1974, pp. 142-145.
3. "Hidden Agendas," 1974, pp. 133-134.
4. "Cog's Ladder: A Process-Observation Activity," 1974, pp. 8-12.

INSTRUCTIONAL RESOURCES:

Selected:

C. Story of Aquarius. This exercise is a study in group problem-solving as it must be accomplished from the angle from group concensus. Provide the story to the group(s) who must select the individuals who will be included. The decisions should be made through analysis and careful consideration, no horse-trading or random selection should be allowed.

THE TEETERING INFERNO

You are a group of specialists called together on SECRET government assignment to attend a training seminar. Re: Outer Limits Solar Government. Your special team (Code Name: 'Red Hot' MGT-3) has performed well thus far, but today is your final test. If your team qualifies you will receive sealed envelopes containing your TOP SECRET assignments.

"FLASH" a spontaneous combustion fire has started on the third floor of the twenty story building you are meeting in. The fire is out of control and climbing at a predictable rate. Although you can feel the gentle swaying of the structure, you have been assured that it will not collapse until the fire reaches at least the eighth floor.

Your 'Red Hot' MGT-3 Team has just received direct word from the oval office that all the people you are trapped with will be evacuated via airlift. However, only your inexpendable 'Red Hot' MGT-3 Team and seven other people will be able to fly 'Super-Safe' 1st class. The remaining survivors will have to take their chances on the less safe 'Mini-Econo' Class flight.

The survivors you are trapped with include:

Noted author
Southern politician
Caterer
Attorney
73-year old physician
Clergyman
Banker
Pregnant maid
Neurotic bacteriologist
Undertaker
Detroit policeperson
The building architect
Clinical psychologist
Movie star
Stenographer
Woman school teacher
School teacher's disabled husband
City fire marshall
Social worker
Your mother-in-law

"FLASH" PRIORITY-I COMMUNIQUE

ATTENTION: 'RED HOT' MGT-3
SUBJECT: PRIORITY EVACUATION - DIRECT ORDER

SPECIAL INSTRUCTIONS: IT IS IMPERATIVE THAT YOU DETERMINE PASSENGER ROSTER FOR FIRST CLASS FLIGHT (SPECIAL TEAM PLUS SEVEN ADDITIONAL SURVIVORS).

EACH TEAM MEMBER IS TO TAKE ABOUT 10 MINUTES TO RANK ALL 20 SURVIVORS IN THE ORDER HE/SHE FEELS THEY SHOULD BE EVACUATED IN. (NUMBER 1 IS YOUR FIRST CHOICE FOR EVACUATION AND NUMBER 20 IS YOUR LAST CHOICE).

IN TEN MINUTES YOUR TEAM LEADER WILL CALL A MEETING TO DETERMINE AND RANK WHICH SEVEN SURVIVORS WILL ACCOMPANY YOU ON THE 1ST CLASS FLIGHT.

CODE NAME: 2-TONE 4-DOOR
OVAL OFFICE

As a team, avoid mathematical averaging of individual rankings.

You are on the ___th floor and have ___ minutes to determine the passenger roster. Communications outside the building have been knocked out.

INSTRUCTIONAL RESOURCES:

Selected:

D. Future Reference Articles: The following is a list taken from the Future Reference Portion of Lesson Six, Section 2, in the student manual, Supervisory Management in the Water/Wastewater Field, Michigan State University, 1977. This list of articles has been included for your additional information.

Baker, James B., "Management Accounting Tool Aids," Journal, American Water Works Association, November 1971, pp. 692-695.

Baldock, E. H., "Toronto's Approach to Preventive Maintenance for Treatment Plants," Journal, American Water Works Association, Vol. 67, No. 11, November 1975--Part I, pp. 614-615.

Caskey, C. C., "The Four Functions of Management," Journal, American Water Works Association, June 1972, pp. 361-366.

Helferich, Omar Keith, "Management Systems: Total Utility Perspective," Journal, American Water Works Association, November 1973, pp. 670-676.

Kazimer, Leonard J., Principles of Management, McGraw-Hill Book Company, Section V, Controlling, 1969, pp. 413-509.

Massoff, George, "Computer Customer Billing," Journal, American Water Works Association, Vol. 67, No. 5, May 1975, pp. 278-279.

McWhinnie, Robert C., and Spaulding, J.M., "Responsibility Budgeting: A Management Tool," Journal, American Water Works Association, May, 1972.

Ozan, Turgut M., "Controls for Operations Management," Journal, American Water Works Association, February 1972, pp. 75-81.

Perry, Robert R., "WPCF Role in Improving O & M," Journal, Water Pollution Control Federation, Vol. 49, No. 7, July 1977, p. 1567.

Piecuch, Peter J., "EPA Charts Policy for Deadline Enforcement," Journal, Water Pollution Control Federation, Vol. 49, No. 7, July 1977, pp. 1569-1571.

INSTRUCTIONAL RESOURCES:

Selected:

D. Future Reference Articles, Cont.

Rice, James T. and Eric F. Erickson, "Workload Planning and Control--A Management Tool," Journal, American Water Works Association, Vol. 68, No. 9, September 1976, pp. 468-470.

Roeder, Betty B., "EFTS for Automatic Payment of Water Bills," Journal, American Water Works Association, Vol. 68, No. 10, October 1976, pp. 509-510.

Watkins, Jack Jr., "Can a Computer Really Operate a Water-Filtration Plant?" Journal, American Water Works Association, Vol. 67, No. 7, July 1975, pp. 351-352.

METHOD OF EVALUATION

The written test, which follows Section 2 of Lesson Six, pertains to all material in Lesson Six. First, a copy of the test portion as it appears in the student manual is included here. Second, answer keys are provided for the Objective Portion, and guidelines are included for the Subjective Portion of this sixth test.

OBJECTIVE TEST: LESSON SIX

(place answers on the sheet preceding these questions)

1. The hot stove rule stresses the idea that ________________.

   a. cause and effect is impossible to determine
   b. discipline should be immediate and should apply to the act
   c. wrongful acts bring their own punishment so the supervisor need not worry about discipline
   d. discipline will leave scars

2. Morale refers to an employee's ____________________.

   a. ability and aptitude
   b. overt actions (they speak louder than words)
   c. past experience on the job
   d. state of mind and emotions

3. Disciplinary problems for the supervisor are, by definition, limited to actions on the job.

   a. True
   b. False

4. "Directing" includes motivating employees.

   a. True
   b. False

5. A limited number of key indicators which provide the supervisor with a good sampling of overall performance are ____________________.

   a. intangible standards
   b. work measurement
   c. strategic control points
   d. tangible standards

6. The concept of unity of command refers to ____________________.

   a. a direct line of authority
   b. a cohesive grouping of employees
   c. the common bond between all supervisors which insures that no conflicting orders are given
   d. written orders, which leave no room for variation

COPY OF TEST FROM STUDENT MANUAL

Lesson Six
Objective Test
Keep this page in your book

7. The supervisor's first action in taking disciplinary action should be to ______________.

   a. discipline in private
   b. use positive discipline
   c. use self-discipline
   d. investigate thoroughly

8. Coordinated and synchronized activities achieved by a closely knit group are achieved through ___________.

   a. morale
   b. change agents
   c. teamwork
   d. positive discipline

9. The most severe form of discipline is a ________________.

   a. disciplinary layoff
   b. demotion
   c. discharge
   d. written or official warning

10. The autocratic supervisor is one who generally follows a ___________ type of approach.

   a. Theory X
   b. Theory Y
   c. Maslow
   d. Skinner

11. Progressive discipline is ________________.

   a. emphasizing only the positive or correct actions (rewarding the good).
   b. based on the idea that given too much rope, the employee will figuratively hang himself.
   c. based on the idea that the penalty becomes more severe with increasing offenses.
   d. named so because the offender is subjected to the disapproval of supervisors going up the ranks with each offense.

12. The supervisor who generally assumes that people need to be urged on and closely supervised illustrates which approach to supervision?

   a. Theory X
   b. Theory Y
   c. general
   d. consultative

COPY OF TEST FROM STUDENT MANUAL

Lesson Six
Objective Test
Keep this page in your book

13. The second step in the process of control is ____________.

    a. setting standards
    b. incorporating worker cooperation
    c. checking on performance
    d. taking corrective action

14. Communication regarding future changes is vital--and always flows from the bottom up.

    a. True
    b. False

15. A budget is a planning device which is also used in controlling.

    a. True
    b. False

Lesson Six
Subjective Portion
To Be Sent In

SUBJECTIVE PORTION, PART I, A.

Use this sheet and an additional one if necessary.

PART I, A. Watson has asked Wilbur to develop a list of specific questions that he could use as a checklist to determine how well he is achieving management control. Although you probably have slightly different responsibilities and situations than Wilbur, a basic checklist will possibly include many similar items.

Develop ten to twelve specific things which should be checked to evaluate your performance. For example:

--Is my absenteeism rate below _____?

--Are my costs below _____?

--Does my staff (or do I) spend at least _____ hours per week on training?

If you already have such a list, please send it in and indicate how you utilize the checklist to improve your area of responsibility.

COPY OF TEST FROM STUDENT MANUAL

Lesson Six
Subjective Portion
To Be Sent In

SUBJECTIVE PORTION, PART I, B.

PART I, B. Select at least one of the specific items from your own list and, using the Management Systems Approach discussed in Lesson Three, Section 1, develop an approach to improving the selected performance measure(s). Be as specific as possible and consider the impact of the suggested improvement method on the other performance measures in your list. (After completion of the exercise, attempt to implement your improvement approach.)

When you have completed Part I, go right on the Part II which is another portion of the Supervisory Management Audit ...

SUBJECTIVE PORTION, PART II (Continued)
Audit, Continued

G. LABOR RELATIONS

1. Are you permitted to express your opinions in reference to labor negotiations?
2. Are you kept informed about the course of labor negotiations?
3. Do you keep records that would be useful in labor negotiations (incidents, absenteeism, productivity, etc.)?
4. Do you thoroughly understand the labor agreement?
5. Do you consult with higher management on labor clauses for interpretation?
6. Is appropriate action taken if a subordinate does not comply with contract provisions?
7. Can you develop a proper relationship and communication with the union stressed?
8. Do you observe the following check list for grievances?
    - a. be available to the shop steward and to any aggrieved employee?
    - b. listen to the grievance?
    - c. do not become angry?
    - d. summarize what has been presented and define what is actually the problem?
    - e. get the facts related to the grievance?
    - f. check the labor agreement to determine if the contract has been violated.
    - g. settle the grievance as soon as possible?
    - h. consider consequences of the settlement to make certain the decision is consistent?
    - i. be as consistent as possible explaining any exceptions?
    - j. answer each grievance in a straight-forward, reasonable manner?
    - k. adjust grievances at the first step of the grievance procedure if possible?
    - l. keep records on all settlements?

OBJECTIVE TEST: LESSON SIX

Master Answer Sheet

1. The hot stove rule stresses the idea that ______________________.

   a. cause and effect is impossible to determine
   b. discipline should be immediate and should apply to the act
   c. wrongful acts bring their own punishment so the supervisor need not worry about discipline
   d. discipline will leave scars

(The answer is B, "discipline should be immediate and should apply to the act". See text, page 283.)

2. Morale refers to an employee's ____________________.

   a. ability and aptitude
   b. overt actions (they speak louder than words)
   c. past experience on the job
   d. state of mind and emotions

(The answer is D, "state of mind and emotions". See text, page 265.)

3. Disciplinary problems for the supervisor are, by definition, limited to actions on the job.

   a. True
   b. False

(The answer is B, "False". See text, page 278.)

4. "Directing" includes motivating employees.

   a. True
   b. False

(The answer is A, "True". See text, page 245.)

5. A limited number of key indicators which provide the supervisor with a good sampling of overall performance are ________________.

   a. intangible standards
   b. work measurement
   c. strategic control points
   d. tangible standards

(The answer is C, "strategic control points". See text, page 314.)

6. The concept of unity of command refers to

   a. a direct line of authority
   b. a cohesive grouping of employees
   c. the common bond between all supervisors which insures that no conflicting orders are given.
   d. written orders, which leave no room for variation.

(The answer is A, "a direct line of authority." See text, page 246.)

7. The supervisor's first action in taking disciplinary action should be to

   a. discipline in private
   b. use positive discipline
   c. use self-discipline
   d. investigate thoroughly

(The answer is D, "investigate thoroughly." See text, page 279.)

8. Coordinated and synchronized activities achieved by a closely knit group are achieved through _____.

   a. morale
   b. change agents
   c. teamwork
   d. positive discipline

(The answer is C, "teamwork." See text, page 269.)

9. The most severe form of discipline is a _____.

   a. disciplinary layoff
   b. demotion
   c. discharge
   d. written or official warning

(The answer is C, "discharge." See text, page 282.)

10. The autocratic supervisor is one who generally follows a _____ type of approach.

   a. Theory X
   b. Theory Y
   c. Maslow
   d. Skinner

(The answer is A, "Theory X." See text, page 250.)

11. **Progressive discipline is _____.**

    a. emphasizing only the positive or correct actions (rewarding the good)
    b. based on the idea that given too much rope, the employee will figuratively hang himself
    c. based on the idea that the penalty becomes more severe with increasing offenses
    d. named so because the offender is subjected to the disapproval of supervisors going up the ranks with each offense

(The answer is C, "based on the idea that the penalty becomes more severe with increasing offenses." See text, page 280.)

12. The supervisor who generally assumes that people need to be urged on and closely supervised illustrates which approach to supervision?

    a. Theory X
    b. Theory Y
    c. general
    d. consultative

(The answer is A, "Theory X." See text, page 251.)

13. The second step in the process of control is _____.

    a. setting standards
    b. incorporating worker cooperation
    c. checking on performance
    d. taking corrective action

(The answer is C, "checking on performance." See text, page 315.)

14. Communication regarding future changes is vital--and always flows from the bottom up.

    a. True
    b. False

(The answer is B, "False." See text, page 260.)

15. A budget is a planning device which is also used in controlling.

    a. True
    b. False

(The answer is A, "True." See text, page 317.)

There is no "best" or "one correct" checklist of items which should be reviewed to evaluate management or supervisory performance. A few of the responses submitted by participants in the water and wastewater supervisory course are included for your review.

1. How many man-days are lost during the year per employee for illness, injury, absenteeism, turnover and other similar reasons?
2. How many safety and OSHA requirements are violated?
3. Is each budget category within projected goals; as an example, what are actual man hours versus budgeted hours?
4. Do present utility operations indicate areas that might require major budget increases (or decreases) during the next fiscal year?
5. Are user charges for water and for waste treatment distributed equitably among all users?
6. What is the number of labor grievances?
7. How many overtime hours are required?
8. What is the cost per unit of effluent?
9. What is the quality of the output?
10. What is the level and usage of inventory by item?
11. What is the allocation of work load among employees?
12. What is the number of uncompleted maintenance requests?
13. How much formal training is provided for each employee?
14. How often does management review each employee for performance?
15. Are the state reports being sent in on time?
16. What is the number of customer complaints per month?
17. How long does it take the utility to answer a complaint?
18. What percent of the employees under me are enrolled in a training program?
19. What am I doing to train my own replacement in case I am transferred, promoted, or sick?
20. How many problems due to petty bickering, arguments, misunderstandings, etc., do I have each month?

SUPERVISORY MANAGEMENT AUDIT COMMENTS

G. Labor Relations

- In general, more than two or three "No" answers for questions 1 through 7 indicate that further investigation of your procedures and involvement in labor relations is desired.
- Also, if more than four "No" answers are entered for the twelve parts of question 8, you should consider improvements in your methods for subordinate grievances.
- Although the questions indicate a union shop, they are generally applicable to most situations, including non-union ones, since a fair and expedient procedure should be established for handling grievances, regardless.

MODULE SEVEN

MANAGERIAL RELATIONS WITH THE UNION AND EMPLOYEES

Session 1: Managerial Relations with
the Union and Employees

Assigned Text Reading: Chapters 19 and 20

PERFORMANCE-ORIENTED WORKSHEET
MODULE SEVEN, SESSION 1

CURRICULUM: Water Quality Control Program

COURSE: Supervisory Management in the Water/Wastewater Field

SUBJECT MATTER: Managerial Principles

MODULE SEVEN: Managerial Relations with the Union and Employees

Session 1 of 1:

Estimated Time for this Session: Three classroom hours

Prerequisites for this Session: Familiarity with content of Lesson Seven, section 1, in the student manual

PERFORMANCE OBJECTIVE: (3 Parts)

ACTION/TERMINAL BEHAVIOR: The learner will list the twelve steps involved in the grievance adjustment process. The learner will apply correctly, through the use of the five progressive steps, the management systems approach to the solving of problems and the improvement of working conditions.

CONDITIONS: The learner will be provided with the five-part process of the management systems approach.

ACCEPTABLE PERFORMANCE: The learner will list, in one or two sentences each, the twelve steps of the grievance adjustment process (as listed in the textbook). The learner will be given a series of questions which involve problem-solving through the use of the management systems approach. A solution to the problem must demonstrate understanding of the systems approach through its application in each case.

JUSTIFICATION OF OBJECTIVE: The learner will require proficiency in problem-solving to deal with the situations which require managerial leadership and understanding. This particularly relates to problems involving labor unions, but generally applies to all problems which face the manager.

INSTRUCTIONAL ACTIVITIES

Instructor Activity:

1. Preparation includes familiarity with the content of Chapters 19 and 20 in the textbook and Lesson Seven in the student manual.

2. Instructor initiates class discussion on labor unions through a general analysis of the reasons for (and against) the existence of labor unions in the utility area. Identification of individual student experiences is helpful here in broadening the collective experience of the class.

3. After an overview of union terminology, the instructor goes over the 12-steps of the grievance adjustment process, emphasizing the rationale behind each step.

4. Since this may be the final session for the class, a number of concluding reviews may be provided. To assist the Instructor, several articles containing such review material on the manager and his position are suggested in the Instructional Resources section. (See "Some Thoughts on: The Manager's Job", "Your Role as an Executive", and "Development of Effective Teamwork".

5. Conclude with a review of the course materials, as well as a specific review of the materials from this class session.

Learner Activity:

1. Provide experiences with unions as requested.

2. Participate in class lecture and discussion through the contribution of comments, questions or examples.

3. Take the Mini-Review quiz for Lesson Seven when all assigned readings have been completed. Complete the final examination for Lesson Seven, when instructed to do so.

INSTRUCTIONAL RESOURCES:

Selected:

A. Three concluding articles on the manager and his or her position are included here:

1. "Some Thoughts On: The Manager's Job"
2. "Your Role as an Executive"
3. "Development of Effective Teamwork"

SOME THOUGHTS ON: THE MANAGER'S JOB*

Management is the coordination of all of the resources in the organization through the performance of basic managerial functions for the purpose of attaining stated objectives.

What is the manager's job? To start with, a manager is expected to know something about the technical aspects of the work for which he is responsible. An office manager, for example, is expected to be familiar with the technicalities of office equipment, procedures, practices and other related matters. A sales supervisor should have some skill and knowledge in principles and practices of selling. And so on.

Secondly, a manager gets results with and through people. Consequently, he must possess knowledge and skill concerning principles and practices of effective personnel and human relations. From the viewpoint of the manager, human relations is motivating people to develop productive and fulfilling teamwork in keeping with organizational aims and employee objectives.

Thirdly, a manager is responsible for getting people to work together effectively. He does this by coordinating all of the resources in a given situation through the proper performance of the managerial functions of planning, organizing, staffing, directing and controlling.

The work-mix that managers perform will vary according to the organizational level of a manager and the overall philosophy of top management concerning such matters. There is a tendency for higher-level managers to spend more time performing managerial functions than lower-level managers. Unfortunately, too many managers know more about the nature of the work they are managing than they do about managing. As a result, they become too preoccupied with technical and mechanical details. The big challenge to any manager is to make more effective the technical functions of a business and the functionaires in it through the proper performance of the basic managerial functions.

Managerial functions are essentially the same regardless of the type of enterprise or the position of the manager in it. Because they are essentially the same, managerial functions are said to be "universal". And since they are universal, skill and knowledge concerning them can be transferred from one organization to another.

Higher-level managers are more readily transferable from job to job within an organization or to entirely different organizations than lower-level managers. This is because of differences in the non-managerial requirements of lower-level managers' jobs.

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*Based on Materials from seminars held at Metro Waste Control Commission, St. Paul, MN, Spring, 1976.

SOME THOUGHTS ON: MANAGEMENT AND ORGANIZATION

MANAGEMENT AS A PROCESS

Because it is a complex and abstract thought, the word "management" is associated with diverse meanings. On occasion, it is used to refer to persons who manage in an organization. And then, there are those who look upon management as an art because it emphasizes getting things done through others. Another explanation is that management is essentially decision-making, or problem-solving, and so it goes. The generally accepted meaning of the term and the one that is used here is that management is a process.

Management is the process by which responsible persons in an organization coordinate all of the resources in a given situation through the performance of basic managerial functions for the purpose of attaining stated objectives.

MANAGING IS MANAGING

As a process, management is essentially the same for any manager whether he is a supervisor at the point of impact with non-management personnel or the top administrator of the organization. And managerial knowledge and skill relating to the process may be transferred sucessfully from one type of activity to another of a very different type.

BASIC MANAGERIAL FUNCTIONS

What does a manager do when he manages? What functions does he perform? A most useful method of classifying basic managerial functions (what a manager does when he manages) is to group them around the activities of planning, organizing, staffing, directing and controlling.

- Management Planning - This managerial function has to do with determining in advance what is to be done. When a manager plans, he projects a course of action for the future, attempting to achieve consistent, coordinated structures of operations or activities aimed at the desired results.

- Management Organizing - This managerial function concerns itself with the establishment of activity-authority relationships among people, work and work environment. It involves a study of objectives, designating functions to be performed, grouping people, and defining working relationships among them.

  Management planning represents only potentially successful action. Management organizing helps to crystalize initial planning by establishing and relating human and non-human resources needed to carry out planned action to a successful conclusion. In a sense, management organizing means setting up the machine needed to operate the plans.

- Management Staffing - The managerial function of staffing may be considered the life-giving force of any organization. It supplies the people needed

MANAGEMENT AND ORGANIZATION, Cont.

to manage and operate the system. Staffing and the managerial function of Directing are looked upon as being human resource functions. Staffing concerns itself with such matters as the recruitment, selection, placement, and development of the members of an organization.

- Management Directing - Both of the managerial functions of planning and organizing are preparatory in nature. Now along comes the managerial function of directing which puts life into the enterprise. It places it in action and keeps it in action.

  Essentially, management directing is mainly concerned with the development, direction, motivation, and maintenance of the human resources in an organization.

- Management Controlling - Management controlling seeks to compel events to conform to planning, organizing, and directing efforts. Controlling implies the existence of objectives and plans - it is meaningless without them. Controlling is characterized by prevention and correction.

  Sound planning, organizing and directing efforts provide some measures of built-in control. Controlling includes establishing standards, measuring performance, evaluating results, and correcting deviations. It is considered best when it prevents deviations from occuring, and next best when it detects deviations as they occur and corrects them.

  Theoretically, the management function of planning comes first, followed by organizing, staffing, directing, and controlling. In practice, however, managers often find themselves performing these functions silumltaneously, which is to say that the functions tend to unite.

MANAGEMENT AUTHORITY

Applied to the managerial job, authority may be defined as the right to act or to direct concerning the actions of others in an organization for the purpose of attaining organizational and employee goals. Implied in this statement is the right to make decisions and the power to carry them out.

- Authority:

  1) Is the keynote of all management activity.
  2) Makes possible the manager's job.
  3) Binds and holds the parts of an organization together.
  4) Gives meaning to an individual's relationship and position in a management hierarchy.
  5) Establishes or otherwise signifies a relationship between two or more individuals in an organization in which one of them has the right, power, or privilege to direct the efforts of the other or others.

MANAGEMENT AND ORGANIZATION, Cont.

The existence of different types of authority relationships among units, segments, or divisions of an organization gives rise to different kinds o types of authority These are usually classified as "line authority", "staff authority" and "functional authority".

- Line Authority - This is the ultimate authority to command, act or decide in matters affecting others in an organization.

  Line Authority:

  1) Extends in a direct line from superior to subordinate down through the various management levels of an organization to operating levels.
  2) Is the basic and fundamental authority in organization.
  3) Is over all other types of authority in an organization.
  4) Represents the main source of power for putting an organization in motion and keeping it in motion.

- Staff Authority - Staff authority is the right to advise, counsel, recommend, and assist others in an organization but not to command.

  Staff Authority:

  1) Is facilitating in nature.
  2) Provides an opportunity to make use of specialized technical and managerial knowledge and skill.
  3) Is limited in scope.
  4) Is subordinate to line authority.

- Functional Authority - Functional authority is the right to command over specified processes, practices, policies, or other matters relating to activities performed by personnel in departments other than the department of the person to whom the functional authority has been delegated.

  Functional Authority:

  1) Enables a manager (most frequently staff) to exercise effective direction and control over his functional specialty.
  2) Broadens the concept of staff authority.
  3) Usually emphasizes "how" something is to be done.
  4) Should be used only where the need for it is essential.
  5) Is subordinate to line authority.

DELEGATION OF AUTHORITY

When authority is vested in a subordinate by a superior, it is said to be delegated. Delegations may be extensive or very limited. The former is referred to as decentralization of authority and the latter as centralization of authority.

MANAGEMENT AND ORGANIZATION, Cont.

The delegation process involves three key activities: (1) The assignment of duties; (2) The delegation of authority (right or power) to perform the duties; and (3) The exaction of responsibility for the accomplishment of the duties.

Regarding sources of authority, the two views expressed in the following are known as the "institutional source" and the "subordinate-acceptance source".

- Institutional Source - According to this approach, the real source of managerial authority lies in the laws of the land that permit the ownership of property.
- Subordinate-acceptance Source - According to this approach, there is no real authority unless a subordinate accepts the exercise of authority over him as authoritative.

LINE AND STAFF AUTHORITY RELATIONSHIPS

- Line and Pure Staff (staff authority relationship) - With this arrangement, a staff department gives advice, counsel and assistance to its superior line manager only. He in turn, if he wishes, may issue directives to the line based upon the advice and counsel received.
- Line and Advisory Staff (staff authority relationship) - with this arrangement, a staff department is permitted to give advice, counsel and assistance to other segments of the organization as well.
- Line and Functional Staff (functional authority relationship) - With this approach, a staff department is permitted to issue directives to its particular field of specialization mainly on "how" certain functions are to be carried out.

Regarding the above relationships, most concerns use some combination of the three. Decisions pertaining to the amount of functional authority a staff department should be given can best be made within the organization under consideration. It is well to keep in mind that functional authority should be used sparingly.

RESPONSIBILITY

Responsibility is the obligation of a person to whom a duty has been assigned, to perform that duty. The essence of responsibility is obligation. The term responsibility is meaningful only as it relates to people - not things.

Responsibility may be of two kinds: "ultimate responsibility" and "associated responsibility". For example, if A delegated authority to B for the performance of a task, A has the ultimate responsibility for the performance

MANAGEMENT AND ORGANIZATION, Cont.

of the task through B. And B has the associated responsibility (associated with the delegated authority) for performing the task. If B fails to perform the task (he does not meet his associated responsibility), A is still held responsible for B's failure (ultimate responsibility of A).

SOME MANAGEMENT GUIDES

- Policies - Policies are general statements or understandings which guide or channel thinking in decision-making.

Policies:

1) Delimit an area within which decisions are to be made.
2) Permit managers to delegate authority while maintaining control.
3) Tend to predecide issues and avoid repeated analysis and consideration of general courses of action.
4) Help to channel decisions along the way to the attainment of objectives.
5) Should allow some room for variation in their application.

- Rules - Rules are courses of required action.

Rules:

1) Require that a specific and definite action be taken regarding a situation.
2) Allow no discretion in their application.
3) Are usually reinforced by specific, stated penalties.
4) Specify no time sequence.
5) May be part of a procedure.

- Procedures - Procedures are established ways of doing things, of performing activites.

Procedures:

1) Detail the manner in which activities are to be pursued and their essence is chronological sequence.
2) Often cut across department lines.
3) Are a reflection of policy and are often the basis for observing unstated policies which may exist.
4) Are subordinate to policies.

- Management Principles - Management principles are fundamental guides to causal relationships between management action and results.

Management Principles:

1) Help to organize knowledge that has been acquired through experience and analysis.
2) Help to improve the quality of management practice by simplifying it.

MANAGEMENT AND ORGANIZATION, Cont.

- Objectives - Objectives are ends toward which activity is directed.

Objectives:

1) Constitute the goals of an enterprise and the departments or sements which structure it.
2) Are the end points of planning.

- Management Philosophy - Management philosophy refers to the basic guides that underly all of the actions of the management organization.

SOME THINGS TO THINK ABOUT

1) Except for good cause, orders to subordinates should not bypass responsible heads in a line. The same holds true for reporting to superiors up the line.

2) All persons affected should be informed when the duties and scope of a position have been changed.

3) In a given situation, a subordinate should be subject to directives from one source only.

4) No person should be expected or required to be a critic of the person to whom he reports.

5) There is a limit to the number of subordinates one person can effectively direct.

6) Authority for a position should be delegated to the extent and in a way that is necessary for the accomplishment of the desired results.

7) Any activity designed to be a check on the operation of a unit should not be assigned to that unit.

8 Positions provided by an organization structure should be staffed with personnel able and willing to carry out the assigned functions.

9) Continuous personal development is a major responsibility of every management person in an organization.

10) The objectives of management development are to develop management candidates and to strengthen existing managers.

11) Effective management development begins with the top leaders of an enterprise.

MANAGEMENT AND ORGANIZATION, Cont.

12) Managers often know more about the work they are involved with than they do about managing. As a result, they have a tendancy to become preoccupied with work details. It is well to keep this to a minimum if effective managing is to be realized.

13) A manager's chief reason for being is his ability to achieve effective performance. He succeeds or fails not so much because of what he does, but because of what he is able to get others to do.

SOME THOUGHTS ON: COORDINATION

Management is the coordination of all of the resources in an organization through the performance of basic managerial functions for the purpose of attaining stated objectives.

Some authorities look upon coordination as a separate function of the management process. However, it seems more to the point to regard it as the essence of management. Each of the managerial functions (planning, organizing, staffing, directing, and controlling) is an exercise in coordination.

Need for Coordination - The necessity for synchronizing human effort arises out of the differences in thought as to how individual and group goals may be reached or harmonized. We often interpret similar interests in different ways, and our efforts toward mutual goals do not automatically mesh with the efforts of others. Therefore, it becomes the central task of someone (a manager) to reconcile differences in approach, timing, effort, and the like so that cooperative and individual goals may be harmonized.

Principles of Coordination - Mary Parker Follett, in her discussion of coordination sifted principles from techniques and set forth certain conditions for obtaining coordinated effort.

One principle of coordination states that "coordination is best achieved through direct horizontal relationships of people in an organization."

A second principle points out that "coordination is more readily achieved in the early stages of planning and policy making".

A third principle indicates that "all factors in a situation are reciprocally related".

A fourth principle of coordination emphasizes that "coordination is an on-going activity, a continuing process".

Points to consider:

A most important person for achieving coordination in an organization is the first-line manager (supervisor).

Good organization is a very important device for achieving coordination.

All types of communications, particularly personal contact, aid in achieving effective coordination.

Participation is effective for achieving a high degree of coordination.

An important activity for obtaining coordination is expediting.

Corrective coordination is good; preventive coordination is better.

YOUR ROLE AS AN EXECUTIVE*

1. An Executive is:

   a. generally not paid only for what he does, but for the moral content of his/her:

      1. efforts
      2. enthusiasm
      3. knowledge, experience
      4. judgment
      5. leadership

   b. not just having a massive desk or office

   c. not having less work or total delegation thereof

2. Qualities of an Executive:

   a. must get along with people

   b. must be perceptive

   The length of service does not provide a total qualification, only a limited advantage.

   A leader is not one who achieves by personal power but one who inspires all under his command.

   Morale is the child of leadership. Men work best for the Executive who holds his beliefs with confidence and sticks to them under all conditions.

   The Executive is a man who trusts his own judgment. Successful Executives seldom have to ask advice from the boss before making important decisions--he or she asks for information, the facts. Synthetic self-confidence will not do--nor will bluffing.

3. Confidence and Control

   Self-control is perhaps the most important ingredient in the makeup of an Executive. It prepares a man to adapt himself to the perpetual shifting conditions, unexpected challenges and helps him or her to deal effectively with the crises which arise.

   The lack of self control is unbecoming in an Executive and undermines his authority and destroys his effectiveness. Discretion is imperative.

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*Based on Materials from seminars held at Metro Waste Control Commission, St. Paul, MN, Spring, 1976.

4. Courage

An Executive needs courage. The courage an Executive seeks is not just the absence of fear. He must clearly realize the risks involved and he must decide to go ahead with his decisions. He or she who does so is a courageous Executive.

Bravado is to be censured, and rapid-fire decisions are not required.

Administrative ability is essential and may well be more important than technical abilities. A good administrator is able to develop an organization and keep it working purposefully and harmoniously.

A good Executive leaves his emotions at home and only his family knows of his temperamental upsets.

Age in itself is neither a handicap nor a benefit; it is only a feeling. "Seasoned Youth" covers all ages. The young Executive with a seasoned attitude or the older man with a youthful attitude and wide horizons can both be successful.

5. Everyone in an organization should know what he or she is responsible for, what his/her authority is, and who does what in directing effort. The Executive has a right to be consulted.

Many firms would benefit by taking stock with some frequency. Progress can only be achieved when there is a basic philosophy and a good plan.

Learn to have a plan of action or a personal goal and to every situation ask what, when, where, who, and how much. The effect of success or failure should be evaluated and actions should then be made with confidence.

6. Building Morale

Only if morale is high will our efforts be high in quantity and quality of work

Morale means that every man is interested in success of the operation.

All good Executives have turned away from inspiring fear and seek, instead to increase devotion. The best way to inspire morale and enthusiastic support is by expressing appreciation and encouragement. Do not wait for perfect performance to praise employees. Praise will be an incentive to a man for better performance.

It is foolish to scold. Able men or women do not humiliate others. Know how to use your power with gentleness.

Anyone aspiring to an Executive position and success will compromise his or her chances if he or she develops a habit of criticizing superiors except to their faces. All individuals have faults and peculiarities, but those of Executives are especially apparent because the Executive is in the spotlight.

Also, do not criticize your juniors.

A good Executive is always on the lookout for men who can relieve him of detail, fill in for him when he is absent, and contribute to constructive planning. Develop your Operators; when your shift fails to function efficiently in your absence, management is bad.

7. Time to Apply Brakes

A significant sign of a good Executive is the appearance of ease and lack of hurriedness. Hurrying is wearing on the body and nerves. It extracts an exorbitant price. The body must be kept in excellent trim--watch your health and give proper attention to your family responsiblities. Get out of balance in these things and your Executive responsibilities will suffer.

8. On Flattery

Beware of the opiate of flattery. Keep your thoughts within the compass of humility. The Executive should not allow any and all flattery to make an imprint on his or her mind. The Executive then runs the danger of becoming self-satisfied, growing lax in self-discipline and finally becoming apathetic about putting forth the effort needed for a successful career.

Resting on past laurels means fixation, which is observed via such symptoms as delayed decision, sluggish judgment and management procrastination. It is an insidious disease, arresting development and starving personality.

Probably the nearest approach to an ideal for the Executive is to combine humble and conquering feelings into what might be called healthy self-confidence, and to strike the happy medium between ingrowing and outgiving.

To reach this desirable state, one needs to build a personality made up of seasoned youth, knowledge, personal maturity, emotional stability and mental and physical alertness.

This means continuing to learn. One great foe to efficiency in an Executive is the thought that he knows it all.

The Executive should have part of both an active and a contemplative life. He or she should spend time thinking. His character can be nothing else but the sum total of his habits of thought.

Ten years of effort directed to one's work may not be as effective as ten minutes of concentration backed up by an informed mind thinking in a disciplined manner.

9. Strategy in Working with People

Ability to get along well with people is the prime attribute of a good Executive. It is a necessity for all of us if we are to enjoy peace of mind.

Life cannot be lived in an impersonal way.

No Executive can do his or her best work or attain notable success in business without the concurrence of other men's endeavors. The competent leader takes many precautions that lesser men neglect.

To understand people demands first of all that we admit two truths: We are all different, and often we are not aware in what respect, to what degree, and why we are different. Secondly, we all act and react in different environments--even though those environments appear to be similar.

When a person realizes these truths, he or she will be inclined to begin understanding people.

No one in authority can ever do too much listening.

"Every human act can be understood if we know all the pertinent facts."

We must be prepared to meet resistance if the attitude we seek to change is a deeply rooted one. We need to offer something more concrete than generalities. If we take the pains to think out and elaborate our thoughts and our plans in clear consistency, we are likely to reap a reward beyond our hopes.

To deal with people requires the communication of ideas.

Time is needed to communicate ideas and cultivate their growth. The miracle is that so many leaders. by taking time and trouble, succeed in having their ideas accepted.

None of us likes to feel that he or she is being told to do something; we prefer to feel that we are acting on our own ideas, or that we are thoughtfully agreeing with the ideas of someone else.

The purpose of all but little men is not to dominate but to inspire, not to strike fear into men but to enlist their goodwill, not to gain a point by fighting but to win support by making people want to get behind the plan.

If there is no other way to achieve a worth-while purpose, then it is necessary to "lay down the law." Dogmatism is a powerful device when justifiably used, but it is a fighting weapon not calculated to make friends.

To those who insist upon fighting their way through life, who have it in their nature to do so, some points of strategy should be attended to. It was a principle among the ancient Greek fighters not to cut off the enemy's retreat, because when bottled up, the enemy would fight more desperately. In our modern business life, it is well to give an opponent a chance to "save face."

Violence in an Executive makes enemies unless the people surrounding him are wonderfully tolerant--something on which no one has the right to count. Violence takes a toll of one's health, too. It wears one out more rapidly than does persuasion, and is not so gratifying to the man of intelligence.

Able men take pains to spare others humiliation.

The purpose of discipline in business is to prevent repetition of an offense; it should be constructive.

Criticism should begin with praise and honest appreciation of what the man does well, and then go on to point out how this other thing can better be done. It recognizes the truth that one learns through making mistakes. The better a person, the more mistakes he or she will make because the more new things he or she will try.

Learning to like people and to get along with them by looking for the good in them is a satisfying way of life.

One sure way of getting along with people is to satisfy some of their wants.

Every Executive knows it is not sufficient to give a person good wages and stable employment and comfortable working space. Other needs, more personal ones, must be met if the team is to be contented, harmonious, and efficient.

Look favorably on people's motives. Friendships do not grow out of suspicion, nor is loyalty in a working organization built on distrust.

There are times to concede and conciliate. A wise organizer lets people beat him a little in discussion of some plan he is trying to "sell," so long as he or she keeps the main issue clear and unspoiled, and given in to changes in detail in order to win in principle.

To enjoy good human relations we need to recognize the craving of people for personal recognition. They desire prestige. By giving them a sense of importance, we attract them to us, arouse their interest in our ideas and make them eager to help us bring our plans to fruition.

A true leader does not hog the limelight, but draws his friends and fellow workers into it, thus inspiring them with enthusiasm and loyalty.

When we make a mistake, we take the wind out of the opposition's sails by admitting it quickly and emphatically.

There are many virtues, but four are of leading importance to the person seeking to live and work successfully with people. These virtues are consistency, sincerity, courtesy, and friendliness.

We can learn how to deal with the man who is consistent, even if he is consistently wrong.

Sincerity is important because it deserves friends.

No one who aspires to getting along well with people can afford to ignore courtesy, which means being considerate of others in little things. Evidences of courtesy include refusing a request gracefully, showing respect for what others revere, treating even bores with consideration, eagerness in doing favors, and calmness under provocation and affability under pressure.

Courtesy is the easiest quality to lift one above the crowd.

Friendliness with a person means that you have, over and above your general merit, some particular merit to that person.

If there is one point worth remembering more than another, both by the aspiring young Executive and by the man who has been through the mill, it is this: the successful business leader gets more satisfaction from doing a job than from contemplating the finished product.

Far more real than completion and ease and prestige is the stimulation that arises from the sense of accomplishment. It is not a "game" as some like to call it, but a way of behaving and thinking that the Executive finds rewarding and in which he or she believes.

As to the Executive's long view of his or her life, and the purpose of it, he or she must have a certain idealism, a vision of what might be.

The executive needs an honest purpose, founded on a just personal estimate of himself or herself, and a steady obedience to the rule of life which the executive has decided is individually correct.

THE DEVELOPMENT OF EFFECTIVE TEAMWORK*

by: R. O. Folland, Director of Construction
Metropolitan Waste Control Commission, St. Paul, MN

Introduction

Knute Rockne, sometimes called the greatest football coach who ever lived said, "A football team is like a fine watch -all precisioned. If one small part is not working in harmoney, the watch fails to function properly."

Each Supervisor has the responsibility for making his or her group, as well as himself or herself, function in harmony, with the rest of the organization.

How do we go about achieving "teamwork?" It won't just happen--all parties and particularly Supervisors, must make it happen!

I. Organizational Structure of Team
  A. Organization chart
  B. Each person--one Supervisor
  C. Span of effective supervison- about five for one supervisor.

II. Geographical Location of Team Members: Systems must take into consideration
  A. All under one roof
  B. Relatively independent parts spread over a wide area.

III. Two Basic Areas of Team Management
  A. Routine work management within the team
    1. Basic "tools" of the Supervisor
      a. Organization chart shows the chain of command and where each individual fits into the organization
      b. Manual of Department Regulations
        1) Provides basic policy for each separate office of the Department
        2) Regulations are not static--but are revised as conditions dictate

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*Based on material from Seminars conducted at the Metro Waste Control Commission, St. Paul, MN, Spring, 1976.

3) Policies as established or revised by the department heads are made known to all parts of the team, regardless of geographical location

4) Public is dealt with uniformly

5) Contractors are dealt with uniformly

c. Inspector's Manual

1) Pertinent parts of the Policy Manual applying directly to inspectors are submitted to each person and are added to and revised as required. Other technical publications are made part of the Inspector's Manual.

2) Rule: A Supervisor should not expect his subordinate to carry out responsiblities unless the Supervisor clearly enunicated those responsibilities in a proper manner

2. General Observations on "Supervision"

a. Don't rely on verbal orders (only) in "supervising."

b. Written orders tend to:

1) Intensify the thought process going into an order to a subordinate which should result in better decisions

2) Set time schedules for completion of a task

3) Improve communication between all parties concerned

c. Follow-up on results of orders is a necessary duty of the Supervisor

B. Non-Routine Problems That Must be Solved By The Team (Singly or with other Departments)

1. Examples (from the Construction Department):

a. Unforeseen construction problems that will halt construction unless resolved (usually requiring re-design).

b. Claims (usually for extra money) by Contractors for "changed job conditions"

c. Claims by citizens or other governmental entities affected by another construction project by the same company

d. Problems to other departments in the same company caused by the construction project

2. The above examples usually involve decision-making through "task-oriented group" action

a. Groups can be effective decision-making and problem-solving entities

b. Characteristics of effective groups:

1) Relaxed informal atmosphere(kidding and good humor)

2) Lots of discussion but discussion remains pertinent to the task

3) The task of the group is well understood

4) Members listen to each other. People do not appear to be afraid of being foolish

5) There is disagreement but disagreement is not suppressed

6) Decisions are reached by consensus (no formal voting)

7) Criticism is frequent, frank, and relatively comfortable

8) There is little pussy footing, and there are few "hidden agendas."

9) When action is taken, clear assignments are made and accepted

10) The chairman of the group does not dominate it

11) The group is self-conscious about its own operations and will frequently stop to examine how well it is doing

c. Types of meetings:

1) Ritualistic

2) Informational/Briefing

3) Instructional

4) Consultative

5) Planning/Game Plan/Strategy

6) Problem-Solving/Decision-Making

d. The Supervisor should consider the type, and purpose of a meeting before calling the meeting and then attempt to guide the group in attaining "effective group action," as outlined above.

INSTRUCTIONAL RESOURCES:

Selected:

B. Future Reference Articles: The following is a list taken from the Future Reference Portion of Lesson Seven, in the student manual, Supervisory Management in the Water/Wastewater Field, Michigan State University, 1977. This list of articles has been included for your additional information.

Davis, Keith, Human Behavior at Work, Fourth Edition, New York, McGraw-Hill Book Company, 1972, pp. 286.

Lindner, Dennis G., "Organization of a Utility by Labor," Journal, American Water Works Association, Vol. 69, No. 5, May 1977, pp. 234-238.

McLeod, Robert J., "Communication--Key to Effective Labor Relations," Journal, American Water Works Association, Vol. 68, No. 9, September, 1976, pp. 453-455.

Money, Walter C., "Effective Labor Relations," Journal, American Water Works Association, Vol. 68, No. 9, September 1976, pp. 477-478.

Snell, William, "Collective Bargaining--Its Impact on the Management Function," Journal, American Water Works Association, January 1973, pp. 40-45.

Stoner, John F., "Living with Organizing Labor," Journal, American Water Works Association, Vol. 69, No. 1, January 1977, pp. 19-20.

METHOD OF EVALUATION

The written test, which follows Section 1 of Lesson Seven, pertains to all material. First, a copy of the test portion as it appears in the student manual is included here. Second, answer keys are provided for the Objective Portion, and guidelines are included for the Subjective Portion of this last and final test.

OBJECTIVE TEST: LESSON SEVEN

Fill in the answer sheet and send it in to be corrected and graded

1. "Checking the contract" under a grievance procedure refers to ____________.

   a. checking the employee's contract to come up with legitimate promotion or discharge procedures.
   b. examining the employee's contract, to find out if a legitimate grievance exists.
   c. looking at the agreement made between the union and upper management.
   d. the specified length of time listed in the contract allowed for grievance settlement.

2. Workers join labor unions primarily for what reason, according to the text?

   a. for social reasons
   b. for economic reasons
   c. for political reasons
   d. to escape corruption

3. One of the responsibilities of the supervisor is to consult prior records of settlements to determine whether an impending settlement is consistent with previous cases.

   a. True
   b. False

4. A/An ______________________ states that the rights of management in a particluar disciplinary case must be determined by both the supervisor and the union.

   a. codetermination clause
   b. grievance adjustment
   c. shop steward statement
   d. arbitrator ruling

5. A complaint which has been formally presented to the supervisor or another management representative is termed a/an ____________________.

   a. codetermination clause
   b. grievance
   c. chief complaint
   d. arbitrated complaint

6. Typically, supervisors become involved in union activites at two stages, negotiations and ___________________________.

   a. organizing
   b. day-to-day application of the agreement
   c. formation
   d. the drawing up of the labor agreement

7. The initial spokesman for the employee in a grievance complaint is usually the ____________________.

   a. supervisor
   b. chief executive
   c. employee himself (or herself)
   d. shop steward

8. If the supervisor is aware of attempts to unionize, the supervisor's actions should include ____________________.

   a. joining the movement, in order to be 'in' from the start.
   b. reporting the unionizers for disciplinary action by upper management.
   c. acquainting upper management with the fact that a union drive is on.
   d. doing nothing, so that the drive will hopefully fade out.

9. It is preferable to have both the shop steward and the aggrieved employee together when presenting the grievance to the supervisor.

   a. True
   b. False

10. It is in the best interests of union-management relationships for the supervisor to try to "beat the contract."

    a. True
    b. False

11. The existence of a labor agreement revises the five functions of a manager and eliminates some of them.

    a. True
    b. False

12. One of the more frequent areas of difficulty for supervisors in regard to labor agreements involves the interpretation of a generalized statement as it pertains to a specific instance.

    a. True
    b. False

13. Grievances should not be adjusted as soon as possible (and then, only as a desperate measure). For interpretation to aid future employees, the matter must be carried through all the way to the top.

    a. True
    b. False

Lesson Seven
Objective Test
Keep this page in your book

14. The supervisor frequently adds up provisions of a formal labor agreement by ________________________.

    a. helping personally in the wording of the agreement when it is being constructed
    b. selecting the people to draft the agreement initially, who add on provisions
    c. interpreting and applying the provisions to specific situations
    d. working closely with upper management to obtain the most advantageous wording for the management

15. Labor unions are permanent institutions in our society.

    a. True
    b. False

COPY OF THE TEST FROM STUDENT MANUAL

Lesson Seven
Subjective Portion
DO NOT SEND IN

SUBJECTIVE PORTION, PART I

This examination is designed to provide a review of the subject matter covered in the seven lessons. In addition, it is designed to provide some practical consideration for you and to provide you with a type of experience which can be applied to real world situations.

To complete this final examination, you must complete all seven questions in this part. You will use the same general approach for each problem-solving situation even though the situations are different.

A summary outline on problem-solving is included below and on the following pages. You may use this as a guide, and need not include this with your answer sheets.

These instructions, and the detailed outline which follows, are only for your benefit. You need to send in ONLY YOUR ANSWER.

Introduction

This examination consists of three parts as follows. You are to complete all three of these steps for each of the following seven questions.

I. Selection of a Problem

II. Identification of the Source of the Problem

III. Development of the Solution to the Problem

Instructions

I. SELECT A PROBLEM

You are to select an existing (or potential) problem for each requested area in this test (as listed on the following pages) that you would like to attempt to solve or for which you would like to establish the solution procedure as part of the Home Study Program. The problem can be a situation that existed prior to the Home Study Program, or one that you (or staff members) have identified since the beginning of the Home Study Program in Lesson One. Realizing that such problems often involve technical aspects, try to limit your problem area to the managerial part of the problem. You should review the problem-solving approach outline created by Dr. Helferich, as presented in Lesson Three, Section 1.

SUBJECTIVE PORTION, PART I, Cont.

II. IDENTIFY THE SOURCE OF THE PROBLEM

Once you have selected and defined the problem, please write a paragraph stating how the problem was identified. For example:

1. Was identification of the problem related to a lesson you completed where the lesson helped to point out the problem? (Be specific)
2. Was identification of the problem assisted by the Management Audit? (Be specific)
3. Was identification of the problem made by subordinates and brought to your attention? (Be specific)
4. Other (Explain)

III. DEVELOP A SOLUTION OF THE PROBLEM

Once you have selected and identified the problem, begin to solve the problem by utilizing the procedure referred to as the Management Systems Approach. As you remember from Lesson Three, Section 1, pages the approach consists of five steps:

1. Define problem and objectives.
2. Summarize management assumptions.
3. Develop solution approach.
4. Evaluate alternatives and recommend course of action.
5. Implement recommendation.

THE FOLLOWING SITUATION IS PRESENTED AS AN EXAMPLE:

(Example of a Labor Problem)

I. PROBLEM DESCRIPTION

Due to the nature of our operation, it is not deemed necessary to utilize operational personnel for weekend and holidy work, and two positions were created and titled "labor--watchmen" to handle weekend and holiday shifts. This situation worked well until recently when, during discussions of contract proposals, it was decided by the men that overtime for holiday work should be paid and that all union employees should have an opportunity to work holidays and receive overtime on a rotational basis. The two men who now are the "labor--watchmen" are upset because they feel that they are now going to have

SUBJECTIVE PORTION, PART I, Cont.

to share a "good thing" where previously they were expected to accept the nuisance of working all the holidays. This problem is further complicated by the fact that there is some confusion about whether or not they were originally employed to work holidays or whether the situation, along with their acceptance of it, just evolved. Now they are refusing to work all holidays and insist that holidays, regardless of the outcome of contract negotiations, be shared by all employees on a rotational basis.

II. MANAGEMENT ASSUMPTIONS

It was subsequently discovered that these two men were not hired specifically for the purpose of working holidays, but for weekends only, and that their working on holidays limited the need for their coming in during the regular work week to make up hours to accumulate 40 hours a week and made it unnecessary for other employees to work holidays and evolved through a general acceptance.

A. Alternatives

It would seem that, when a contract has been agreed to, the problem of who will work holidays will be solved, though its effects may not. It is, therefore, more of an interim solution that is being sought. The alternatives are:

1. Maintain status quo where watchmen are required to work holidays.
2. Change back to the previous system where holidays were worked by employees on a rotational basis.

B. Criteria for Evaluation

The only criteria to be evaluated here are the impact on the morale of the two men involved and possibly on the quality of the effluent. The impact on the morale of the men involved has been discussed previously in defining the problem. The impact of effluent quality involves the necessary time and effort involved in training all members of the staff in being good watchmen of all plant processes and the possibility of malfunctions during this orientation period.

III. & IV. Solution Development and Evaluation of Alternatives

Alternative one seems to be the only possibility as management cannot really change employee assignments so drastically due to a discussion at a union meeting. If this were done, a loud clamor for similar action would be heard and management would be put in the position of putting through a contract without the formality of negotiations.

SUBJECTIVE PORTION, PART I, Cont.

V. Implementation - Course of Action

What should be done here, both now and during contract negotiations is for management to make it understood that the watchman's position at the plant is not one which everyone can necessarily carry out and it also involves some duties (such as custodial tasks) which they are unaware of or which they would not or could not carry out.

Management should also take a strong stand during negotiations on the fact that this talk is an important one and not just a plum to be passed around to equalize overtime.

Have the idea down? Then, turn the page and begin work on your final application of the content of this course to your area.

COPY OF TEST FROM STUDENT MANUAL

NAME ______________________________

Lesson Seven
Subjective Portion
To Be Sent In

SUBJECTIVE PORTION, PART I, Cont.

FINAL APPLICATION

QUESTIONS (USE ADDITIONAL SHEETS AS NEEDED)

I. Question One - Motivation

Select a situation where the major problem appears to be employee motivation and solve it, utilizing the Management Systems Approach.

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NAME ______________________________

Lesson Seven
Subjective Portion
To Be Sent In

SUBJECTIVE PORTION, PART I, Cont.

FINAL APPLICATION

QUESTIONS (USE ADDITIONAL SHEETS AS NEEDED)

II. Question Two - Delegation

Select a problem which has to do with the delegation of authority. Again, solve this problem, utilizing the Management Systems Approach

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NAME ______________________________

Lesson Seven
Subjective Portion
To Be Sent In

SUBJECTIVE PORTION, PART I, Cont.

FINAL APPLICATION

QUESTIONS (USE ADDITIONAL SHEETS AS NEEDED)

III. Question Three - Planning

Choose a planning problem you have faced, or are facing at your utility. Solve the problem using the Management Systems Approach.

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NAME ________________________________

Lesson Seven
Subjective Portion
To Be Sent In

SUBJECTIVE PORTION, PART I, Cont.

FINAL APPLICATION

QUESTIONS (USE ADDITIONAL SHEETS AS NEEDED)

IV. Question Four - Employee Appraisal

Give an example of a problem situation in employee appraisal and performance evaluation and solve it, utilizing the Management Systems Approach.

NAME ________________________________

SUBJECTIVE PORTION, PART I, Cont.

FINAL APPLICATION

QUESTIONS (USE ADDITIONAL SHEETS AS NEEDED)

V. Question Five - Positive Discipline

Describe a situation where you required and used positive discipline or would have used it had you been aware of it. This need not be a problem-solving approach question as much as a descriptive one.

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NAME ______________________________

Lesson Seven
Subjective Portion
To Be Sent In

(471)

SUBJECTIVE PORTION, PART I, Cont.

FINAL APPLICATION

QUESTIONS (USE ADDITIONAL SHEETS AS NEEDED)

VI. Question Six - Controlling

Review the system you use for management control within your area of responsibility. Select one problem and outline an approach to solving the problem utilizing the Management Systems Approach.

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NAME ______________________________

Lesson Seven
Subjective Portion
To Be Sent In

SUBJECTIVE PORTION, PART I, Cont.

FINAL APPLICATION

QUESTIONS (USE ADDITIONAL SHEETS AS NEEDED)

VII. Question Seven - Labor

State a labor or grievance problem which you have faced, and outline the solution utilizing the Management Systems Approach.

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Lesson Seven
Subjective Portion
Do Not Send In

SUBJECTIVE PORTION, PART II.

SUPERVISORY MANAGEMENT AUDIT
TOTAL REVIEW

In the Appendix you will find a copy of all of the Supervisory Audit Questions as they have appeared through this manual. Using the answer sheet on the next page--go to those questions, and indicate those questions which have changed since you answered them earlier. You should review all parts of your completed audit to see if the responses reveal any deficiencies. Management Audit procedures similar to the one you have completed are being utilized in many industrial situations to reveal management problem areas.

Lesson Seven
Subjective Portion
To Be Sent In

COPY OF TEST FROM STUDENT MANUAL

SUBJECTIVE PORTION, PART II.

Supervisory Management Audit, Total Review Answer Sheet

A. Objectives

	YES	NO	NA
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			

B. Planning

1a.			
b.			
c.			
d.			
e.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			
11.			
12.			
13a.			
b.			
c.			
d.			
e.			
f.			
g.			
14 .			
15 .			

B. (Cont.)

	YES	NO	NA
16.			
17.			
18.			
19.			
20.			
21.			
22.			
23.			
24a.			
b.			
25.			

C. Organization

1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			
11.			
12.			
13.			
14.			
15.			
16.			

D. Staffing

1.			
2.			
3.			
4.			
5.			

D. (Cont.)

	YES	NO	NA
6.			
7.			
8.			
9.			
10.			
11.			
12.			
13a.			
b.			
c.			
d.			
e.			
f.			
g.			

E. Directing

1.			
2a.			
b.			
c.			
d.			
e.			
3.			
4.			
5.			
6.			
7.			
8.			
9a.			
b.			
10.			
11.			
12a.			
b.			
13.			
14.			

COPY OF TEST FROM STUDENT MANUAL

SUBJECTIVE PORTION, PART II, Cont.

Total Review Answer Sheet, Cont.

E. Directing (cont.)

	YES	NO	NA
15.			
16.			
17.			
18.a.			
b.			
c.			
d.			
e.			
f.			
19.			
20.			

F. Controlling

1.			
2.			
3.			
4.			
5a.			
b.			
c.			
6.			
7.			
8.			

G. Labor Relations

1.			
2.			
3.			
4.			
5.			
6.			
7.			

G. Labor Relations (cont.)

	YES	NO	NA
8a.			
b.			
c.			
d.			
e.			
f.			
g.			
h.			
i.			
j.			
k.			
l.			

Finished? Then just send this to:

Self-Study Course Coordinator
432 Eppley Center
Michigan State University
East Lansing, MI 48824

YOU ARE FINISHED...WELL DONE... It is hoped that this course was a pleasant learning experience for you, and that you are far more of an accomplished manager for having spent all those long hours pouring over the books. Congratulations, you deserve it. If you have successfully passed all the previous lessons, and have done well on this last objective test and this final exam, you will be receiving your certificate of completion shortly, as well as your scores for these last examinations.

Your six Continuing Education Units will be recorded with the Office of Continuing Education at Michigan State University, where they will remain on file for your future reference or use.

OBJECTIVE TEST: LESSON SEVEN

Master Answer Sheet

1. "Checking the contract" under a grievance procedure refers to ______________.

   a. checking the employee's contract to come up with legitimate promotion or discharge procedures.
   b. examining the employee's contract, to find out if a legitimate grievance exists.
   c. looking at the agreement made between the union and upper management.
   d. the specified length of time listed in the contract allowed for grievance settlement.

(The answer is B, "examing the employee's contract to find out if a legitimate grievance exists". See text, page 349.)

2. Workers join labor unions primarily for what reason, according to the text?

   a. for social reasons
   b. for economic reasons
   c. for political reasons
   d. to escape corruption

(The answer is B, "for economic reasons". See text, page 331.)

3. One of the responsibilities of the supervisor is to consult prior records of settlements to determine whether an impending settlement is consistent with previous cases.

   a. True
   b. False

(The answer is A, "True". See text, page 351.)

4. A/An __________________ states that the rights of management in a particular disciplinary case must be determined by both the supervisor and the union.

   a. codetermination clause
   b. grievance adjustment
   c. shop steward statement
   d. arbitrator ruling

(The answer is A, "codetermination clause". See text, page 395.)

5. A complaint which has been formally presented to the supervisor or another management representative is termed a ________________.

    a. codetermination clause
    b. grievance
    c. chief complaint
    d. arbitrated complaint

(The answer is B, "grievance". See text, page 344.)

6. Typically, supervisors become involved in union activities at two stages, negotiations and ___________.

    a. organizing
    b. day-to-day application of the agreement
    c. formation
    d. the drawing up of the labor agreement

(The answer is B, "the day-to-day application of the agreement." See text, page 234).

7. The initial spokesman for the employee in a grievance complaint is usually the:

    a. supervisor
    b. chief executive
    c. employee himself
    d. shop steward

(The answer is D, "shop steward." See text, page 346).

8. If the supervisor is aware of attempts to unionize, the supervisor's actions should include:

    a. joining the movement, in order to be 'in' from the start.
    b. reporting the unionizers for disciplinary action by upper management.
    c. acquainting upper management with the fact that a union drive is on.
    d. doing nothing, so that the drive will hopefully fade out.

(The answer is C, "acquainting upper management with the fact that a union drive is on." See text, page 332).

9. It is preferable to have both the shop steward and the aggrieved employee together when presenting the grievance to the supervisor.

    a. True
    b. False

(The answer is A, "True." See text, page 346).

10. It is in the best interest of union-management relationships for the supervisor to try to "beat the contract".

   a. True
   b. False

(The answer is B, "False". See text, page 335.)

11. The existence of a labor agreement revises the five functions of a manager and elminates some of them.

   a. True
   b. False

(The answer is B, "False". See text, page 336.)

12. One of the more frequent areas of difficulty for supervisors in regard to labor agreements involves the interpretation of a generalized statement as it pertains to a specific instance.

   a. True
   b. False

(The answer is A, "True". See text, page 338.)

13. Grievances should not be adjusted as soon as possible (and then only as a desperate measure). For interpretation to aid future employees, the matter must be carried through all the way to the top.

   a. True
   b. False

(The answer is B, "False". See text, page 351.)

14. The supervisor frequently adds up provisions of a formal labor agreement by ____________________________.

   a. helping personally in wording of the agreement when it is being contructed
   b. selecting the people to draft the agreement initially, who add on provisions
   c. interpreting and applying the provision to specific situations
   d. working closely with upper management to obtain the most advantageous wording for the management

(The answer is C, "interpreting and applying the provision to specific situations". See text, page 337.)

15. Labor unions are permanent institutions in our society.

    a. True
    b. False

(The answer is A, 'True". See text, page 333.)

As with Lesson Six, there is no one "best" or "correct" answer for this subjective portion. Your answers will be evaluated on their own merit--both how you utilized the information present throughout the course and how you applied the Management Approach. We have included several student answers here, which we feel illustrate both good organization and proper application of managerial techniques.

I. QUESTION ONE-Employee Motivation

Select a situation where the major problem appears to be employee motivation and solve it.

EXAMPLE #1

A. Problem

Four shift operators rotate on three regular eight-hour shifts performing routine, scheduled valve changes, pump operation, meter and guage recording, and equipment lubrication when required. Most operators are conscientious and perform all the operations called for in the operating schedule. In addition, these same operators observe and report problems, both mechanical and operational, which are not specifically noted in the schedule. One or two operators are believed to omit certain duties if, in their opinion, no one will find out, in order to expend the least amount of effort. As a result of these omissions, the added workload is passed on to the conscientious operator. Analysis of plant operating performance by the superintendent is made more unreliable because certain operations believed to be performed may not have been done. Changes in plant performance may be the result of changes in operating schedules, or may be due to non-conformance with the schedule.

B. Analysis

1. Proper operation of the plant requires that written operating schedules be adhered to, in order that the effect of operational changes on plant performance may be evaluated.

2. Morale of conscientious operators is reduced if other operators are suspected of slacking.

3. Closer supervision by unscheduled nighttime visits to the plant cause resentment and is upsetting to some operators.

4. Unscheduled plant visits do not necessarily detect irregularities in operators performances.

5. Moonlighting by some operators during the day while on the night shift may contribute to poor performance.

I. QUESTION ONE, continued

C. Alternatives

1. Motivate the less ambitious operator to improved performance by:

    a. Threat of disciplinary action against operators not following the schedule completely.

    b. Provide shift differential pay for evening and night shifts sufficient to induce operators to request permanent assignment to these shifts. Select the best operators.

2. Enforce strict limits on outside employment.

3. Establish more detailed job reporting requirements for the operator. This may promote closer adherence to the schedule.

4. Do nothing, but attempt in future promotions to operator to be more selective.

D. Evaluation

1. Motivation approach

    a. In order to enforce the threat of disciplinary action, surveilance bordering on harassment would be necessary to indict an operator.

    b. The cost of the necessary pay differential would be excessive. It would also involve the City Council and Union.

2. Action limiting outside employment would have a negative effect on other plant personnel who perform satisfactorily on the job.

3. Reporting requirements are generally non-productive and consequently would have negative effects offsetting possible positive effects.

4. This approach holds limited, but for the present, the most promise. If better solutions appear later they can be applied.

E. Implementation Recommendations

Adopt number 4, while retaining options 3 and 1(a) if conditions warrant later.

EXAMPLE #2

A. Problem

Laborers wouldn't stay busy in afternoons.

B. Source

1. They have no supervision except fellow workers.

I. QUESTION ONE, continued

2. They felt that the day people didn't work so why should they.

C. Solution

1. Assigned specific work to be done and progress was checked on the next day.

2. Rotated a few of them to days so they could see the work was getting done.

3. Talked and explained to them the situation so they could understand.

II. QUESTION TWO-Delegation

Select a problem which has to do with the delegation of authority. Again, solve this problem utilizing the Management Systems Approach.

EXAMPLE #1

A. Problem

In this instance, one aspect of authority is a problem of delegation and the use of delegated responsibiity to avoid work. The following problem has not been totally defined and analyzed, but this could represent one approach.

The laboratory performs routine daily sampling at the plant and along the receiving stream. Tests are performed and the results are calculated and reported. The state Pollution Control Agency requires specific tests at regular intervals to be reported. Often, the superintendent requests additional testing for studies to improve treatment or to study effects more closely upon the river. Laboratory personnel include a Lab Technician II and a Lab Technician I. The Lab Technician I has less experience but has been trained to be able to perform all but one analysis currently used. The Lab Technician II is also the union steward and assumes control of the laboratory.

The superintendent does not have time to supervise the daily routine of the lab, and it has been reported by the Lab Technician I that he does most of the work.

The work cannot be divided as each must be familiar with the total operation as they must cover for each other when the other is on sick or vacation leave.

B. Analysis

1. Although some motion and time study estimates have been computed by the superintendent based on his own lab experience, it is not possible

II. QUESTION TWO, continued

to obtain a precise determination as each operation or analysis is interlocked with another test. There are an infinite number of possible combinations of analyses. While one test is cooking or cooling, another step can be done on another analysis. Without regimenting the order of analyses, which would be impossible to do, a time study cannot be accomplished.

2. According to the Lab Technicians, occasionally they cooperate on individual tests, one starting a test and the other completing the test.

3. Each analysis has its own data sheet on which each Lab Technician is expected to put his name; however, because of item #2, they are hesitant to do this and conclusions drawn therefrom are questionable.

4. Each Lab Technician has reported the daily routine followed for a week which has been assessed as to percent of time in each area of sampling, lab tests, calculations, reporting, clean-up, and other with regard to specific tests. It is not conclusive because of item #2.

C. Alternatives

1. Require each Lab Technician to conduct only certain specific tests or duties when both are present.

2. Allow variation in #1, but do not cooperate on tests so that each data sheet has proper name of technician actually conducting test.

3. Leave operation as it is, but maintain closer observation of lab operation as time permits.

4. Do nothing now, and, as new facilities are provided under capital improvements required by the P.C.A., add a third chemist or bacteriologist who has a B.S. degree to supervise the laboratory.

D. Evaluation

1. This regimentation is not conducive to efficient, flexible operation of the laboratory and practically would be difficult to implement.

2. This has the same drawbacks as #1.

3. This is possible only if other duties of the superintendent do not prevent it.

4. This is a solution which can be implemented in about 4 or 5 years. It will improve efficiency of the Lab Technicians, but overall, will be more costly.

SUBJECTIVE PORTION, Part I, Cont.
Sample Answers

II. QUESTION TWO, continued

E. Implementation Recommendations

An effort should be made to provide time to implement #3 if only on short, concentrated periods. Possibly two days at a time, perhaps every other month.

Long range plans include #4, partly because of greater laboratory responsibility developing due to environmental concerns and sophisticated analyses.

EXAMPLE #2

A. Problem

My assistant was not working effectively for or with me.

B. Source

I had not defined his duties or delegated the authority to carry out work.

C. Solution

He has responsibility for all maintenance personnel and functions now. I take care of operation and administration. I now have time to do things which I did not, before.

III. QUESTION THREE-Planning

Choose a planning problem you have faced, or are facing at your utility. Solve the problem using the Management System Approach.

EXAMPLE #1

A. Problem

Develop a "step construction" plan at the wastewater plant. Put off the necessity of constructing a new plant for at least three to five years.

III. QUESTION THREE, continued

B. Analysis

Considerations are:

1. What is the plant capacity now?
2. What is the service area population now?
3. What improvements are needed now to maintain compliance?
4. What is the population extrapolation in five years?
5. What plant expansions will be needed throughout the five years to maintain compliance?
6. How can these expansion projects be incorporated into the design of any new plant?
7. What will be the B.A.T. in five years?
8. Will compliance limits change in five years?

C. Alternatives

1. Continue as at present

2. Start this step construction program

3. Build the new plant now

D. Evaluation

1. We cannot continue as we are now. The population growth in this area has already pushed the present plant to its solids limit.

2. The city does not have the funding now to build a new plant.

3. Starting this step construction program is the best solution.

E. Select and Implement

The step program has already been implemented. To date, the sludge return system has been modified, increasing its capacity by 58 percent. A return sludge re-aeration system has been devised and installed. Two barminuters have been purchased already, and one is installed. Plans are still in the works for construction of a septic sludge holding tank. The state and EPA are evaluating a plan to permit the utility to apply treated sludge to coal mine reclamation projects. This would provide a disposal area for at least 100 years. An aerated grit removal primary clarifier unit is also being considered for purchase. The influent works are planned for upgrading, and the one and only buiding is being

III. QUESTION THREE, continued

expanded to include a workshop, garage, and storage area. This will allow the necessary space for more lab facilities. Hopefully, these improvements coupled with some first-class operational control will allow this plant to remain in compliance for long enough until the new plant can be constructed. Also, if these improvements are located and sized correctly, they should fit right into any design of a new 20-year plant.

EXAMPLE #2

A. Problem

Early in 1974, the determination was made to put the billing and collection office on a data processing system. The office was, at that time, using a manual system. Bills were prepared in the office through the use of a billing machine (mini-computer) and receipts were hand-recorded. Under the data system, the preparation of bills and recording of receipts was to be "farmed out" with various registers to be provided by the contractor. It was thus apparent that the bookkeeping system would be changed in its entirety and a complete re-education of office personnel would be necessary.

B. Analysis (management assumptions)

Utility's office personnel had a good basic knowledge of billing, collection, and bookkeeping. The only drastic change in a position would be that of the billing machine operator. She would have to be trained to operate a key punch machine. (IBM cards were to be key punched in the utility's office for the contractor's computer). By starting training nine months in advance (the decision to go to data was made in March of 1974 with installation of the system to take place January 1, 1975), the necessary training would be accomplished and the transition should be smooth and orderly.

C. Solution

Training for the data system might be accomplished through the following:

1. Arrange for the supervisor, assistant, and other office personnel to visit the offices of utilities where the system was already in use;

III. QUESTION THREE, continued

2. Arrange for office personnel to attend seminar or seminars held by sales divisions of data systems manufacturers.

3. Bring into the utility's office, a programmer and/or other training personnel from a data processing service bureau.

4. Seek advice and benefit from the knowledge and experience of other offices in the city using a data system (in this city, the city income tax division had been using a data system in a situation similar to that which the utility's office would be acquiring).

D. Evaluation

Alternative 1 should, if ample time is available on the part of both groups, be implemented. The visitors and those they are visiting permit a good over-all view of the data system in operation in a utility's office. Explanation with a question and answer session while viewing would make this a good alternative.

Alternative 2 would give the individuals an insight into data processing but would not necessarily be keyed to utilities and thus would not in itself do the job.

Alternative 3 would be a good alternative in that the programmer or others brought in should be experienced in utilities billing and should be able to explain and train. However, they would not have an available system to refer to while doing so.

Alternative 4 would provide a benefit from data experience such as certain data requirements, again providing some insight into the data system. However, persons from an office foreign to utilities could not perform the total training process.

E. Implementation Recommendations

All alternatives were used to the maximum, time permitting. The supervisor, assistant, and account clerks spent hours in two other cities, where the data system was in use, in training. At least three office employees attended several seminars held by the Computer corporation. A programmer and two assistants from the contractor's office spent hours in the utility's office in preparing the office staff to enter the data system and training office personnel. Employees from the city tax office gave the utility's personnel the benefit of their experience and assisted in preparing utility accounts for the data system.

III. QUESTION THREE, continued

A part of the problem as presented was training the billing machine operator to key punch. This person made it known shortly after the decision was made to go to data that she was resigning effective even prior to the installation of the new system. A new experienced key punch operator was hired by the management which seemed to take care of the problem of the key punch training. To our dismay, it was later learned that this key punch operator was an alcoholic. This became increasingly obvious, and was unfortunately confirmed, not only in other ways, but also by the cards that were punched. Needless to say, at the time of the transition, a state of confusion existed, to put it mildly. This helps to illustrate the necessity for having alternative means for accomplishing tasks.

IV. QUESTION FOUR-Employee Appraisal and Performance Evaluation

Give an example of a problem situation in employee appraisal and performance evaluation and solve it.

EXAMPLE #1

A. Problem

The building custodian was reported to be an excellent worker prior to my taking over as superintendent. It was soon noticed that although he was always on the move at a quick tempo, it was obvious that he always on the move! Every occasion on which we saw each other, he was moving from one area of the building to another, with a mop and bucket or other tools. After awhile, it became a challenge to locate him anywhere between occasions on which he was on the move. Consequently, it was difficult to evaluate his performance. No one, up to that time, had paid much attention to his actions.

B. Analysis

1. Was the custodian really working as rapidly as reported?
2. Was his quick movement when passing a result of his being uncomfortable about any supervisory scrutiny?
3. Were the required custodial duties being attended to?
4. Were there other factors present?
5. Was this his normal, earlier performance or a new circumstance?

IV. QUESTION FOUR, continued

C. Alternatives

1. Prepare a routine duty list with check-off squares provided for daily completion as a way to measure performance. On duties that are not daily, these would be checked only on days accomplished.

2. Discuss with him what is expected, and indicate a fair, reasonable performance fully within his capability.

3. Periodically check over work areas and assignments to compare with the reported duties performed.

4. Discuss with him personal factors which may be involved and discuss performance.

D. Implementation

All four items were implemented and the suggestion by the superintendent for a medical check-up followed. It is understood that a part of the doctor's stern recommendation was that complete abstinence from alcohol be maintained.

E. Effect

No problems have since been detected in performance and the employee appears in good spirits (no pun intended) and enjoys his work.

EXAMPLE #2

A. Problem

Joe is going to come off probation and I do not know if we should keep him or not.

B. Source

We have no evaluation program; it is just judgment if he looks OK or not.

SUBJECTIVE PORTION, Part I, Cont.
Sample Answers

IV. QUESTION FOUR, continued

C. Solution

Develop an appraisal form due every month to see how he is doing on his new job, then when probation ends, you will know whether to keep him or not.

V. Question Five-Discipline

Describe a situation where you required and used positive discipline or would have used it had you been aware of it. This need not be a problem-solving approach question as much as a descriptive one.

EXAMPLE #1

One assistant operator always appeared to have had considerable alcohol during the previous 24 hours. His eyes and face showed evidence but he was never in a drunken condition as an extreme. One might have assumed that this was his physical make-up as it was so constant, and of course we do not conduct sobriety tests of employees.

His work performance was low and operators generally preferred to have other assistant operators to work with instead of this individual.

Upon one unscheduled night shift visit, the operator reported that this assistant had been found asleep on a table with an empty beer bottle. The operator did not want to become involved. Looking into the employee's auto, a styrofoam beer cooler was visible through the auto window, located in the back seat floor.

The employee was questioned as to whether it contained ice and beer. Suspecting it had been inspected, the employee admitted that it did. The man was questioned for a reason to have cold beer at work. His answer was unsatisfactory, and he was given the opportunity to submit his resignation or be fired. He resigned.

EXAMPLE #2

A. Problem

Joe has been late for work and it is becoming a regular, time-consuming thing.

V. QUESTION FIVE, continued

B. Source

Maybe he has a problem at home

C. Solution

Help him to understand how his tardiness slows the rest of the group.

Reschedule him to afternoons if he has a conflict at home (for example, only one car)

Give him a chance to clear up or you will have to discipline him

VI. QUESTION SIX- Controlling

Review the system you use for management control within your area of responsibility. Select one problem and outline an approach to solving the problem utilizing the Management Systems Approach.

EXAMPLE #1

A. Problem

The problem was selected as follows: are the Treatment Plant Operator guidelines reviewed and updated at appropriate times? There are four shifts and these guidelines together with an instruction log and reading file are used to disseminate information and instructions.

The Treatment Operations Section is manned 24 hours a day seven days a week by four shifts. Information is conveyed to the shift supervisor, the TPO III, via the following instruments:

a Long Book of Instructions and Information. This is a daily log. Instructions are noted on the day they are to be followed if they require specific action (low sewer, tank outage, etc.) or the day they are issued if general in nature (TPOS log time

VI. QUESTION SIX, continued

all scavenger containers removed). This book is a 365 day book. Entries are rarely noted as being superceded.

b. Guidelines. These are written memorandums issued to each supervisor that define a procedure to be followed. They apply to administrative paper work and to normal treatment operations. Revisions do occur.

c. TPO Reading File. This is a notebook of reports, memorandums, directives, and other correspondence of interest to the TPOs.

Control of all three instruments is desired.

An important step in the controlling function is to set standards. The above instruments are utilitzed to inform the TPOs of the standards. An up-to-date package of information should assist the section in meeting its goals.

A method is needed to check and appraise the TPOs performance with an eye to the information provided them in the above instruments. Assign responsibility to someone to take corrective action.

B. Summarize Management Assumptions and Alternatives

It is assumed that the organizational make-up within the Treatment Operations Section has personnel capable of assisting in the execution of the check and appraisal.

1. Possible Alternatives Defined:

   a. Leave system as is. Few errors occur with respect to operations. Administrative paperwork errors are frequent but day people catch mistakes and correct them.

   b. Discard all accumulated memos and material and start from now assembling current things as they are issued.

   c. Assign someone to review Reading File for pertinent information. Assemble all pertinent guidelines into one indexed book for the TPO desk. Include the updated Emergency Instructions.

   d. My assistant could be delegated to review the Instruction Log Book He could note all superceded instructions. Temporary instructions may have become permanent and a memorandum is justified.

VI. QUESTION SIX, continued

e. The individual assigned to the time sheets and related reports could review the book for proper up-to-date information.

2. Define the criteria to be used in the Evaluation of Alternatives

a. Impact on costs

b. Impact on effluent

c. Impact on employee motivation

C. Solution Development and Evaluation of Alternatives

1. Alternative a. is not good. Any error with respect to operations is not desired. If past entries contribute to that error, the system should be updated. The TPO III is responsible for the men on his shift. If given the proper information, he need not make the errors in the administrative paperwork.

2. Alternative b.is not satisfactory either. The acccumulated information does contain some pertinent things.

3. Thus it is desired to pursue c, d, and e.

D. Implementation--Course of Action

Alternatives c, d, and e will be initiated. Also, a standard rule shall be applied to all problems developing from shift operations. That rule will be: Could the problem have been avoided by reading the appropriate section of one of the "instruments." If not, what corrective action need be taken to disseminate the proper information, should be defined for the individuals involved.

EXAMPLE #2

A. Problem

Our treatment plant has four maintenance mechanics. All four of the employees have the best of intentions. My basic problem with them is experience. The mechanic with the most maintenance experience has been on the job for only seven months. I have a

VI. QUESTION SIX, continued

problem setting standards such as how much time a job will take and at times the quality of the work being done. These employees are very highly motivated, but they all lack the experience necessary to accomplish some repair work in a relatively short schedule. They also have some problem with quality work. Both of these factors are due to the nature and age of the equipment within the plant. Some of the equipment is complex to say the least. The maintenance staff can usually find the equipment problem and secure repairs, but this takes a great deal of time and effort and some trial and error. There have been times when we were a week or two behind in scheduling repairs and preventative maintenance.

The problem was identified in a number of ways. First, it was obvious that we were falling behind at times with repair work and preventive maintenance. Second, the older employees(plant operators) began to complain about their increased work load. They had to operate some of the plant equipment on manual, plus the equipment had to be checked more often.

B. Management Assumptions

I knew the basic problems with the maintenance staff. Their lack of experience was at least part of the problem, but I was sure that they must have felt somewhat insecure in their ability to make repairs on some equipment. After all, they have never been instructed or schooled in the operation and repair of most of the plant equipment. I knew we had to find a solution to the problem as soon as possible.

C. Alternatives

1. I could let the maintenance staff proceed at their own pace and hope to maintain at least a partial schedule.
2. I could have them take advantage of the many fine short courses and reading material offered.
3. I could assign an older employee to help in the repairs.
4. I could help in the repair work as much as time permitted.

VI. QUESTION SIX, continued

D. Evaluate Alternatives

To leave the maintenance staff alone to proceed as best they could would prove undesirable. We would only get further behind schedule in the repairs. They needed to take advantage of the reading material and short courses available, but this would take time to obtain results.

The idea of assigning an older employer to help with the repairs seemed to be the most feasible solution to the problem. This employee might not know exactly how to repair the equipment but he could relay valuable information to the others. He would know how the equipment worked and why. He would also know how to by-pass the broken equipment and still insure the best quality water. The idea of my helping in the equipment repair also intrigued me. I could gain valuable, first-hand information on the operation, maintenance, and repair of the equipment. It might help me understand my employees better. It would certainly give them the chance to relate to me in an atmosphere other than my office. I am certain that we can all learn from one another.

E. Implementation-Course of Action

I rescheduled a small part of my day to assist the maintenance staff. I also had one of my most experienced operators assist the maintenance staff in some of the repair work. The schedule was arranged so that either my senior operator or myself would be available at all times to assist in the evaluation and repairs to the equipment.

We have received numerous books and manuals on equipment maintenance and repair. This material has helped us all a great deal. We also have a program in progress that allows our people to attend classes and short courses on everything from preventative maintenance and equipment repairs to plant operation. Not only are our maintenance people attending these schools but all our people as well as myself. A marked improvement has been made in morale, job performance, and employer confidence. We still have problems making some repairs but I learned that if we all discussed the problem, the solution could be found.

VII. QUESTION SEVEN-Labor and Grievance Problems

State a labor or grievance problem which you have faced, and go through the problem-solving procedures for it.

EXAMPLE #1

A. Problem

Assistant Operator II employees have regularly been assigned varying duties filling in as relief operators; plant maintenance duty work such as painting, cleaning, and also assisting the mechanic on repairs directly or indirectly under the machanic's supervision. Sometimes the mechanic would instruct them on their own, particularly on simple repairs.

B. Grievance

The Assistant Operator IIs resented doing what they considered higher skilled mechanical work without receiving higher compensation.

C. Analysis

It was and is necessary to have some assistance with mechanical work. Also some 'mechanical' work is of very simple nature not requiring a highly-skilled person.

D. Solution

To answer the complaint as presented the employees' duties were adjusted and they were only requested to assist the mechanic while he was in direct supervision.

Also, new job classifications and job descriptions were prepared and adopted at the annual contract negotiations. That provided for two classifications, that of Assistant Mechanics and Assistant Operators.

Pay scales were set in accordance with the job skills and work prior to job assignments which were handled by regular notice of position and application.

VII. QUESTION SEVEN, continued

EXAMPLE #2

A. Problem

A man wanted pay for a shift not covered by a person of his classification.

B. Source

He was not told of the situation until it occurred, and he was not asked his opinion of the matter.

C. Solution

Spell out the work shifts to be covered, and not covered. Communicate with the employee, and obtain his ideas on the matter so he feels that he is being a decision-maker (make certain that the employee's ideas ARE being a relevant factor in the decision and are not just window dressing).

APPENDIX

COPY: SUPERVISORY MANAGEMENT AUDIT

SUPERVISORY MANAGEMENT AUDIT

Introduction

Before management problems can be alleviated, they must be identified.

"What are our system needs?" This is the question each utility-management team should be asking, according to a statement in the May, 1971 special issue of Willing Water. The special issue further states that recognition and acceptance of these needs is a prime prerequisite of programs that will provide further improvements in service and quality. As part of the Action Now program, AWWA developed a self-evaluation questionnaire to assist in appraising the technical needs of a utility. Michigan State University, through the AWWA-WPCF-sponsored Institute for Water and Wastewater Utility Management, developed a self-evaluation audit format that will assist a utility in appraising management-related problems. Use of a practical management-audit format should provide benefits to water and wastewater utilities.

Can audit procedures define management problems?

There are several examples of the practical application of the audit approach to management. Everyone is generally familiar with the accounting audit, which checks actual cost records against the accepted standard procedures. Auditing was for many years associated with and considered a part of accounting only. The essential purpose of the audit was to provide an examination by a firm of outside auditors to determine the financial condition and to uncover errors and fraud. Today modern management in business, with its greater complexities, requires a close check on the entire scope of management control and performance. The objective is to achieve the most effective and efficient administration of the total business operation with continuous improvement in policies and procedures. The management audit can be defined as:

> A comprehensive and constructive examination of an organizational structure of a company or its components such as division or department, its plans and policies, its financial control, its methods of operation, and its use of human and physical facilities.

The objective of the management audit is to reveal defects or irregularities in any of the elements of the organization under study. The purpose of a management audit is to achieve:

- Reduction of waste and deficiencies
- Improved methods
- Better means of control
- More efficient operations
- Greater use of human and physical facilities

Conclusions

The water and wastewater utility industry has recognized the management needs of the industry for many years. However, for various reasons individual utilities have not defined their own particular management deficiencies. Several factors suggest that this situation will be corrected. First and foremost is the increased interest and effort from within the industry in being professionals in management skills and in the performance of their utility operations. The major associations also have clearly demonstrated increasing interest and effort in management development for the industry. Second, there are pressures that will force increasing interest in the recognition and solution of management deficiencies in the industry. These include but are not limited to: (1) the transition from construction to operations as more new plants come on line; (2) greater pressure by governmental agencies for some form of certification at all levels, possibly including supervision and management; and (3) greater involvement in the review of utility performance by public-interest groups. There is no easy way to recognize, define, and solve management problems, but a management-audit procedure will be of assistance to a utility management team.

Appendix 359 (491)
Audit
Do NOT Send In

APPENDIX

Supervisory Management Audit

A. Objectives

1. Does your group have defined objectives?

2. Have written objectives been prepared for the group?

3. Are the objectives distributed to all subordinates?

4. Do the subordinates understand all of the objectives?

5. Are the reasons ("why") for the objectives understood?

6. Are the objectives reviewed and updated at least twice per year?

7. Do subordinates participate in setting the objectives?

8. Can you and your superior(s) measure and judge the level to which the objectives are achieved?

B. Planning

1. Do you plan for

   a. a week?
   b. a day?
   c. one shift?
   d. a month?
   e. longer than a month?

2. Are you informed concerning the long range plans and objectives of the organization?

3. Are your subordinates fully informed of the plans for your group or department?

4. Do you have policies, procedures, and methods written to assist in guiding you in your responsibilities to carry out top management objectives?

5. Do you utilize a budget stated in time, material, money, or other units?

6. Do you assist in preparation of the budget?

7. Are results compared with the budget to study and analyze the variations?

8. Do you make a projection of the future to forecast the equipment, space, material, etc. which your group will require?

B. Planning (continued)

9. Do you make a projection to forecast the number and qualifications of employees?

10. Are you familiar with the trends in wages, fringe benefits, and costs?

11. Do you check with available staff specialists to prepare forecasts?

12. Do you consider the tactics of timing, joint action, and approach to implementing changes in developing your plans?

13. Do your plans consider utilization of resources:

    a. tools and equipment?
    b. work methods and processes?
    c. space?
    d. materials and supplies?
    e. supervisory time?
    f. employee time?
    g. full utilization of work force?

14. Do you attempt to make the new employee's transition as smooth as possible?

15. Do you do on-the-job training yourself and/or assign this duty to a qualified subordinate?

16. Are subordinates encouraged to take advantage of training opportunities?

17 Do you formally evaluate your subordinates at least annually?

18. Is a formalized system of evaluation used (a merit rating or performance appraisal system)?

19 Is an appraisal form utilized for performance evaluation?

20. Do you personally perform an appraisal interview with each subordinate?

21. At the close of the interview do you make certain that the employee has a clear understanding concerning his (her) rating?

22. Are employees generally promoted from within the group?

23. Are seniority, merit, and ability considered as criteria for promotion?

24. Do you attempt to ensure that wages paid in your group are equitable

    a. internally within the group?
    b. externally with the going rate for similar jobs in the organization and community?

25. Do you review wage and salary information collected by personnel and/or yourself?

C. Organization

1. Are the jobs of the group clearly defined?
2. Are the jobs assigned?
3. Is authority adequately delegated?
4. Are two-way lines of communication established between yourself and your subordinates?
5. Does each employee have a single immediate supervisor?
6. Do you supervise a reasonable number of employees?
7. Does each employee know what standards are expected of him (her)?
8. Are you inclined to assign the more difficult tasks to the most capable employees?
9. Is your group attached to the organization in a line capacity? in a staff capacity?
10. Is your position described in an organization manual?
11. Are activities grouped by function?
12. Do you have a subordinate who is currently qualified to take over your position?
13. If you do not have a qualified understudy for your position, are you training someone as an understudy?
14. Have organization charts, manuals, and position descriptions been prepared?
15. Do you know the leader of the informal organization within your span of control?
16. Do you actively work with and build good relations with the informal leader?

D. Staffing

1. Have you defined the specific qualifications for employees hired for your group?
2. Do you interview, select, and hire from candidates the individual you consider most appropriate for a particular position?
3. Are all new employees assigned to specific jobs?

D. Staffing (continued)

4. Is each new employee introduced to the specific details of his (her) job, rules, hours, etc.?

5. Do you follow up and check on each employee's performance?

6. Do you discipline your subordinates?

7. Do you discharge a subordinate if necessary?

8. Are you responsible for determining the need for employees in your department or group?

9. Do you participate in writing the job descriptions for your group?

10. Do you participate in writing the job specifications required of an employee for each job category?

11. Have you utilized the directive interview technique?

12. Have you utilized the nondirective interview technique?

13. Do you prepare for an employment selection interview by:

    a. acquainting yourself with background information on each applicant?
    b. preparing a schedule or plan for the interview?
    c. selecting a proper location for the interview?
    d. trying to place the applicant at ease?
    e. generating two way communication?
    f. attempting to eliminate your personal preferences and prejudices?
    g. being as honest as possible with each applicant about the selection decision?

E. Directing

1. Do all directives or orders come only from you as the supervisor?

2. Are all of your directives:

    a reasonable in terms of being able to accomplish the task?
    b understood by the subordinate?
    c issued in appropriate tone and words to stimulate willing and enthusiastic acceptance?
    d. compatible (consistent) with the purposes and objectives of the organization?
    e. specify time limit to complete the task?

3. Do you generally choose autocratic, close supervision giving direct, clear, and precise orders to subordinates with detailed instructions?

E. Directing (continued)

4. Do you generally consult with the employee concerning a problem before making a decision and issuing a directive?

5. Do you allow the employee to work out the details of an assigned task?

6. Are the reasons behind your directives explained to your subordinates?

7. Do you help your subordinates understand the need and impact of change before the change is implemented?

8. Do subordinates share in the decisions involved in implementing change?

9. Are you alert to the factors influencing morale:

   a. external (sickness in the family, hobbies, etc.)?

   b. internal (job security, appreciation for a job well done)?

10. Are your subordinates reminded of how significantly they contribute to overall objectives?

11. Do you generally act toward your employees as a leader who has the situation well in hand and can rely upon employees to help correct the situation if something goes wrong?

12. Do you attempt to measure morale through:

   a. observation (levels of productive efficiency, tardiness and absenteeism, accident and safety records, etc.)?

   b. morale and attitude surveys?

13. Are new rules introduced with an explanation to subordinates what is expected of them and why the rules are needed?

14. Do you follow the rules that you expect subordinates to observe?

15. Is your disciplinary action taken with sensitivity and sound judgment to discipline subordinates as appropriate?

16. Is a thorough investigation conducted before taking disciplinary action?

17. Is disciplinary action taken in private with the employee involved?

18. Do you in general utilize the ideas of progressive disciplinary action as follows:

   a. informal talk?
   b. oral warning or reprimand?
   c. written or official warning?
   d. disciplinary layoff?
   e. demotion?
   f. discharge?

Appendix
Audit
Do NOT Send In

E. Directing (continued)

19. In taking disciplinary action, do you follow the "hot stove rule" attempting to begin the disciplinary process as soon as you notice the violation, warn subordinates in advance of the consequences of violations, applying discipline consistently and impersonally?

20. Does each subordinate have the right to appeal disciplinary action?

F. Controlling

1. Are controls available to assist in correcting deviations from established standards as soon as possible so as to minimize the time lag between results and corrective action?

2. Do you have enough familiarity with the jobs of your subordinates to determine which jobs should be observed daily, weekly, monthly, etc.?

3. Are the controls utilized economical and adequate for the jobs under your responsibility?

4. Are the controls utilized flexible to adjustment if warranted?

5. Do you follow the three basic steps essential for control:

   a set standards for measuring performance?
   b. checking on performance versus standards or goals?
   c take corrective action for variations from standards?

6. Is a budget used in your control process?

7 Do you participate in making the budget for your group?

8. Is there some flexibility in the budget through regular budget reviews?

G. Labor Relations

1 Are you permitted to express your opinions in reference to labor negotiations?

2. Are you kept informed about the course of labor negotiations?

3. Do you keep records that would be useful in labor negotiations (incidents, absenteeism, productivity, etc.)?

4. Do you thoroughly understand the labor agreement?

5. Do you consult with higher management on labor clauses for interpretation?

G. Labor Relations (continued)

6. Is appropriate action taken if a subordinate does not comply with contract provisions?

7. Can you develop a proper relationship and communication with the union steward?

8. Do you observe the following check list for grievances:

    a. be available to the shop steward and to any aggrieved employee?
    b. listen to the grievance?
    c. do not become angry?
    d. summarize what has been presented and define what is actually the problem?
    e. get the facts related to the grievance?
    f. check the labor agreement to determine if the contract has been violated?
    g. settle the grievance as soon as possible?
    h. consider consequences of the settlement to make certain the decision is consistent?
    i. be as consistent as possible explaining any exceptions?
    j. answer each grievance in a straight-forward, reasonable manner?
    k. adjust grievances at the first step of the grievance procedure if possible?
    l. keep records on all settlements?